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ABSTRACT

The education criteria presented in this guide are designed to help organizations use an integrated approach to organizational performance management that results in delivery of ever-improving value to students and stakeholders. Implementation of the criteria will contribute to improvement of education quality, improvement of overall organizational effectiveness and capabilities, and organizational and personal learning. These criteria are built on the following core values: visionary leadership; learning-centered education; organizational and personal learning; valuing faculty, staff, and partners; agility; focus on the future; managing for innovation; management by fact; public responsibility and citizenship; focus on results and creating value; and a systems perspective. The following topics are treated in their own chapters: (1) Leadership; (2) Strategic Planning; (3) Student, Stakeholder, and Market Focus; (4) Information and Analysis; (5) Faculty and Staff Focus; (6) Process Management; and (7) Organizational Performance Results. The guide contains a glossary of key terms, scoring system and guidelines, 2002 Education Criteria Response guidelines, information on applying for the Malcolm Baldrige National Quality Award, a summary of education eligibility and restrictions, how to order copies of Baldrige Program materials, and fees for the 2002 Award Cycle. Contact information on the Baldrige National Quality Program and American Society for Quality is on the back cover. (RT)

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Education Criteria for Performance Excellence

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A Public-Private Partnership

Building active partnerships in the private sector—and between the private sector and all levels of government—is fundamental to the success of the Baldrige National Quality Program in improving national competitiveness. Private-sector support for the Program in the form of funds, volunteer efforts, and participation in information transfer continues to grow.

To ensure the continued growth and success of these partnerships, each of the following organizations plays an important role.

Foundation for the Malcolm Baldrige National Quality Award

The Foundation for the Malcolm Baldrige National Quality Award was created to foster the success of the Program. The Foundation's main objective is to raise funds to permanently endow the Award Program.

Prominent leaders from U.S. organizations serve as Foundation Trustees to ensure that the Foundation's objectives are accomplished. A broad cross section of organizations throughout the United States provides financial support to the Foundation.

National Institute of Standards and Technology

The U.S. Department of Commerce is responsible for the Baldrige National Quality Program and the Award. The National Institute of Standards and Technology (NIST), an agency of the Department's Technology Administration, manages the Baldrige Program. NIST promotes U.S. economic growth by working with industry to develop and deliver the high-quality measurement tools, data, and services necessary for the nation's technology infrastructure. NIST also participates in a unique, government-private-sector partnership to accelerate the development of high-risk technologies that promise significant commercial and economic benefits. Through a network of technology extension centers and field offices serving all 50 states and Puerto Rico, NIST helps small- and medium-sized businesses access the information and expertise they need to improve their competitiveness in the global marketplace.

American Society for Quality

The American Society for Quality (ASQ) assists in administering the Award Program under contract to NIST. ASQ is dedicated to the ongoing development, advancement, and promotion of quality concepts, principles, and techniques. ASQ strives to be the world's recognized champion and leading authority on all issues related to quality. ASQ recognizes that continuous quality improvement will help the favorable positioning of American goods and services in the international marketplace.

Board of Overseers

The Board of Overseers advises the Department of Commerce on the Baldrige National Quality Program. The board is appointed by the Secretary of Commerce and consists of distinguished leaders from all sectors of the U.S. economy.

The Board of Overseers evaluates all aspects of the Program, including the adequacy of the Criteria and processes for determining Award recipients. An important part of the board's responsibility is to assess how well the Program is serving the national interest. Accordingly, the board makes recommendations to the Secretary of Commerce and to the Director of NIST regarding changes and improvements in the Program.

Board of Examiners

The Board of Examiners evaluates Award applications and prepares feedback reports. The Panel of Judges, part of the Board of Examiners, makes Award recommendations to the Director of NIST. The board consists of leading U.S. business, education, and health care experts. NIST selects members through a competitive application process. For 2002, the board consists of about 400 members. Of these, 9 (who are appointed by the Secretary of Commerce) serve as Judges, and approximately 60 serve as Senior Examiners. The remainder serve as Examiners. All members of the board must take part in an Examiner preparation course.

In addition to reviewing applications, board members play a significant role in sharing information about the Baldrige Program. Their membership in hundreds of professional, trade, community, and state organizations helps them disseminate this information.

Award Recipients

Award recipients are required to share information on their successful performance and quality strategies with other U.S. organizations. However, recipients are not required to share proprietary information, even if such information was part of their Award application. The principal mechanism for sharing information is the annual Quest for Excellence Conference.

Award recipients in the 14 years of the Award have been extremely generous in their commitment to improving U.S. competitiveness and furthering the U.S. pursuit of performance excellence. They have shared information with hundreds of thousands of companies, education institutions, health care organizations, government agencies, and others. This sharing far exceeds expectations and Program requirements. Award recipients' efforts have encouraged many other organizations in all sectors of the U.S. economy to undertake their own performance improvement efforts.

Baldrige National Quality Program

National Institute of Standards and Technology • Technology Administration • Department of Commerce

To: U.S. Education Community

From: Harry S. Hertz, Director
Baldrige National Quality Program

Subject: The Baldrige Challenge

In today's environment, the Baldrige Education Criteria help organizations respond to the diverse needs of students, the need for enhanced curriculum and education delivery methods, changing regulatory requirements, demanding accreditation requirements, and the growing role of the Internet. Whether your organization is small or large, is involved in PreK–12 or higher education, or has one facility or multiple sites, the Baldrige Education Criteria provide a valuable framework that can help you plan in an uncertain environment. Use the Criteria to assess performance on a wide range of key indicators: student learning, student and stakeholder satisfaction, education design and delivery, financial, faculty and staff development and well-being, and operational. The Criteria can help you align resources, improve communication, productivity, and effectiveness; and achieve strategic goals.

How do you begin that first Baldrige assessment? Take a few minutes and scan the questions in the Organizational Profile on pages 12–13. Your first Baldrige assessment might be as simple as a discussion of the answers to these questions. For additional guidance, refer to our free booklet, *Getting Started with the Baldrige National Quality Program Criteria for Performance Excellence: A Guide to Self-Assessment and Action.*

If you are ready to take the full Baldrige challenge, you can perform a self-assessment as an internal improvement effort, or you can use your self-assessment as the basis for an Award application. Assessment against all seven Categories of the Education Criteria (see pages 14–32) allows you to identify strengths and to target opportunities for improving your processes and results. In the most competitive business sectors, organizations with world-class business results are able to achieve a score above 600 on the 1,000-point Baldrige scale. Organizations early in their performance improvement journey frequently score around 200 points.

Do you believe you have been making progress, but want to accelerate or better focus your efforts? Try using our simple questionnaire, *Are We Making Progress?* This questionnaire, to be released early in 2002, addresses topics important to your faculty and staff and is organized according to the seven Baldrige Criteria Categories. It will help you check your progress toward meeting your organizational goals and will improve communication among your faculty, staff, and leadership team.

Even if you don't expect to win the Baldrige Award, submitting an Award application has valuable benefits. Every applicant receives a detailed feedback report based on an independent, external assessment conducted by a panel of specially trained and recognized experts.

The Criteria are in your hands . . . so is an incredible opportunity. Why not take the challenge? Regardless of your organization's past success, when you turn these pages, you turn the corner toward performance excellence. If you want more information, contact me at nqp@nist.gov.

Need some useful tools to meet the Baldrige Challenge? Try using

- *Getting Started with the Baldrige National Quality Program*
- *E-Baldrige Self-Assessment and Action Planning*, found on our Web site at www.quality.nist.gov
- *Are We Making Progress?*

Contact the Baldrige National Quality Program for these and other educational materials.

Baldrige National Quality Program • NIST • Administration Building, Room A600 • 100 Bureau Drive, Stop 1020 • Gaithersburg, MD 20899-1020
Telephone (301) 975-2036 • Fax (301) 948-3716 • E-mail: nqp@nist.gov • Web site: www.quality.nist.gov

Quest for Excellence XIV Conference

Each year, Quest for Excellence, the official conference of the Malcolm Baldrige National Quality Award, provides a forum for Baldrige Award recipients to share their exceptional performance practices with worldwide leaders in business, education, health care, and not-for-profit organizations. Quest for Excellence XIV will showcase the year 2001 Award recipients.

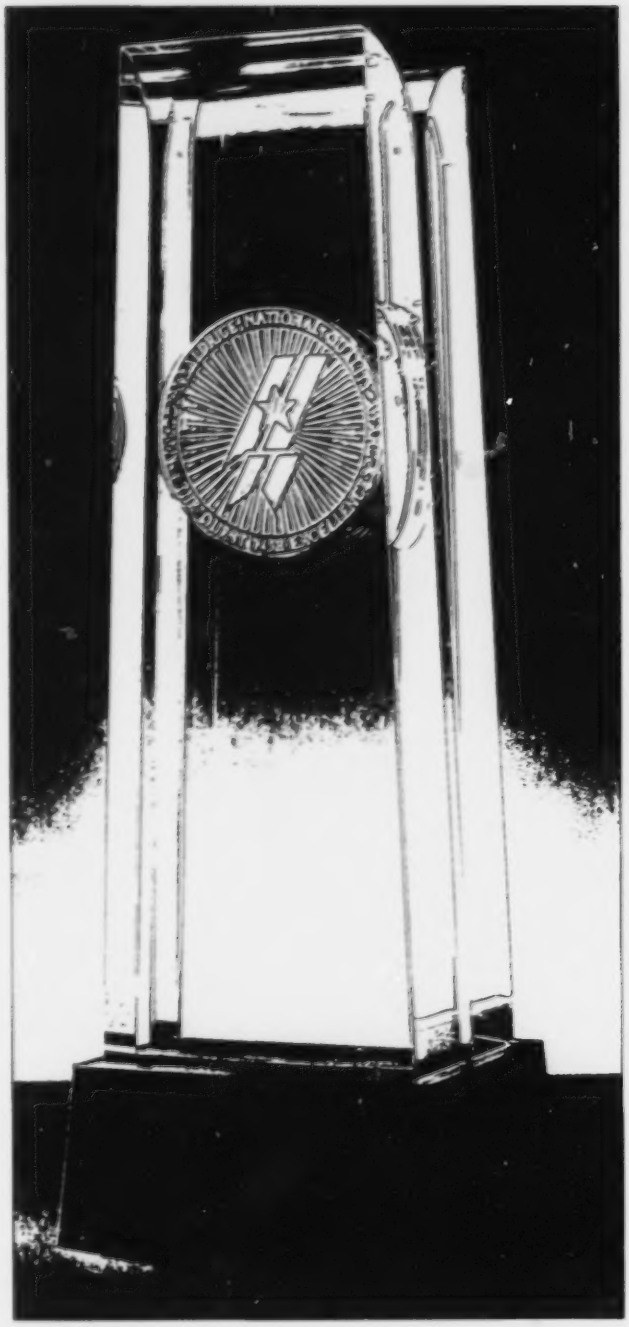
For the last 13 years, executives, managers, and quality leaders have come to this conference to learn how these role model organizations have achieved performance excellence. CEOs and other leaders from the Award recipients give presentations covering all seven Categories of the Baldrige Criteria, their journey to performance excellence, and their lessons learned. At this three-day conference designed to maximize learning and networking opportunities, attendees will be able to interact with Award recipients.

The Quest for Excellence XIV Conference will be held April 7–10, 2002, at the Marriott Wardman Park Hotel in Washington, DC. For further information, contact the Baldrige Program by mail: Baldrige National Quality Program, NIST, Administration Building, Room A600, 100 Bureau Drive, Stop 1020, Gaithersburg, MD 20899-1020; telephone: (301) 975-2036; fax: (301) 948-3716; or E-mail: nqp@nist.gov. For a general overview of the Baldrige National Quality Program, visit its Web site: www.quality.nist.gov.

The Malcolm Baldrige National Quality Award

The Award crystal, composed of two solid crystal prismatic forms, stands 14 inches tall. The crystal is held in a base of black anodized aluminum with the Award recipient's name engraved on the base. A 22-karat gold-plated medallion is captured in the front section of the crystal. The medal bears the inscriptions "Malcolm Baldrige National Quality Award" and "The Quest for Excellence" on one side and the Presidential Seal on the other.

The President of the United States traditionally presents the Awards at a special ceremony in Washington, DC.



Crystal by Steuben

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Business and health care organizations should use the appropriate Criteria booklets for their respective sectors. See page 63 for ordering information.

If you plan to apply for the Award in 2002, you also will need the booklet entitled *Baldrige Award Application Forms.*
Ordering instructions are given on page 63.
Eligibility Forms due—April 16, 2002 Award Applications due—May 30, 2002
We are easy to reach. Our Web address is www.quality.nist.gov.

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Education Criteria Purposes

The Criteria are the basis for organizational self-assessments, for making Awards, and for giving feedback to applicants. In addition, the Criteria have three important roles:

- to help improve organizational performance practices, capabilities, and results
- to facilitate communication and sharing of best practices information among U.S. organizations of all types
- to serve as a working tool for understanding and improving performance and for guiding planning and opportunities for learning

Education Criteria for Performance Excellence Goals

The Criteria are designed to help organizations use an integrated approach to organizational performance management that results in

- delivery of ever-improving value to students and stakeholders, contributing to improved education quality
- improvement of overall organizational effectiveness and capabilities
- organizational and personal learning

Core Values and Concepts

The Criteria are built upon the following set of interrelated Core Values and Concepts:

- visionary leadership
- learning-centered education
- organizational and personal learning
- valuing faculty, staff, and partners
- agility
- focus on the future
- managing for innovation
- management by fact
- public responsibility and citizenship
- focus on results and creating value
- systems perspective

These values and concepts, described below, are embedded beliefs and behaviors found in high-performing organizations. They are the foundation for integrating key requirements within a results-oriented framework that creates a basis for action and feedback.

Visionary Leadership

An organization's senior leaders should set directions and create a student-focused, learning-oriented climate; clear and visible values; and high expectations. The directions, values, and expectations should balance the needs of all your stakeholders. Your leaders should ensure the creation of strategies, systems, and methods for achieving excellence, stimulating innovation, and building knowledge and capabilities. The values and strategies should help guide all activities and decisions of your organization. Senior leaders should inspire and motivate all faculty and staff and should encourage them to contribute, to develop and learn, to be innovative, and to be creative.

Senior leaders should serve as role models through their ethical behavior and their personal involvement in planning, communications, coaching, development of future leaders, review of organizational performance, and faculty and staff recognition. As role models, they can reinforce values and expectations while building leadership, commitment, and initiative throughout your organization.

In addition to their important role within the organization, senior leaders have other avenues to strengthen education. Reinforcing the learning environment in the organization might require building community support and aligning community and business leaders and community services with this aim.

Learning-Centered Education

In order to develop the fullest potential of all students, education organizations need to afford them opportunities to pursue a variety of avenues to success. Learning-centered education supports this goal by placing the focus of education on learning and the real needs of students. Such needs derive from market and citizenship requirements.

A learning-centered organization needs to fully understand these requirements and translate them into appropriate curricula and developmental experiences. For example, changes in technology and in the national and world economies are creating increasing demands on employees to become knowledge workers and problem solvers, keeping pace with the rapid market changes. Most analysts conclude that to prepare students for this work environment, education organizations of all types need to focus more on students' active learning and on the development of problem-solving skills. Educational offerings also need to be built around effective learning, and effective teaching needs to stress promotion of learning and achievement.

Learning-centered education is a strategic concept that demands constant sensitivity to changing and emerging student, stakeholder, and market requirements and to the factors that drive student learning, satisfaction, and persistence. It demands anticipating changes in the education environment, as well as rapid and flexible responses to student, stakeholder, and market requirements.

Key characteristics of learning-centered education include the following:

- High developmental expectations and standards are set for all students.
- Faculty understand that students may learn in different ways and at different rates. Student learning rates and styles may differ over time and may vary depending on subject matter. Learning may be influenced by support, guidance, and climate factors, including factors that contribute to or impede learning. Thus, the learning-centered organization needs to maintain a constant search for alternative ways to enhance learning. Also, the organization needs to develop actionable information on individual students that bears upon their learning.
- A primary emphasis on active learning is provided. This may require the use of a wide range of techniques, materials, and experiences to engage student interest. Techniques, materials, and experiences may be drawn from external sources such as businesses, community services, or social service organizations.
- Formative assessment is used to measure learning early in the learning process and to tailor learning experiences to individual needs and learning styles.
- Summative assessment is used to measure progress against key, relevant external standards and norms regarding what students should know and should be able to do.
- Students and families are assisted in using self-assessment to chart progress and to clarify goals and gaps.
- There is a focus on key transitions such as school-to-school and school-to-work.

Organizational and Personal Learning

Achieving the highest levels of performance requires a well-executed approach to organizational and personal learning. Organizational learning includes both continuous improvement of existing approaches and adaptation to change, leading to new goals and/or approaches. Learning needs to be embedded in the way your organization operates. This means that learning (1) is a regular part of the daily work of all students, faculty, and staff; (2) is practiced at personal, work unit/department, and organizational levels; (3) results in solving problems at their source ("root cause"); (4) is focused on sharing knowledge throughout your organization; and (5) is driven by opportunities to effect significant change and to do better. Sources for learning include faculty and staff ideas, education and learning research findings, student and stakeholder input, best practice sharing, and benchmarking.

Improvement in education requires a strong emphasis on effective design of educational programs, curricula, and learning environments. The overall design should include clear learning objectives, taking into account the individual needs of students. Design must also include effective means for gauging student progress. A central requirement of effective design is the inclusion of an assessment strategy. This strategy needs to emphasize the acquisition of formative information—information that provides an early indication of whether or not learning is taking place—to minimize problems that might arise if learning barriers are not promptly identified and addressed.

Faculty and staff success depends increasingly on having opportunities for personal learning and practicing new skills. Organizations invest in personal learning of faculty and staff through education, training, and other opportunities for continuing growth. Such opportunities might include job rotation and increased pay for demonstrated knowledge and skills. Educational and training programs may benefit from advanced technologies, such as computer- and Internet-based learning and satellite broadcasts.

Personal learning can result in (1) more satisfied and versatile faculty and staff who stay with the organization, (2) organizational cross-functional learning, and (3) an improved environment for innovation.

Thus, learning is directed not only toward better educational programs and services but also toward being more responsive, adaptive, and flexible to the needs of students, stakeholders, and the market.

Valuing Faculty, Staff, and Partners

An organization's success depends increasingly on the knowledge, skills, innovative creativity, and motivation of its faculty, staff, and partners.

Valuing faculty and staff means committing to their satisfaction, development, and well-being. Increasingly, this involves more flexible work practices tailored to faculty and staff with diverse workplace and home life needs. For faculty, development means building not only discipline knowledge but also knowledge of student learning styles and of

assessment methods. Faculty participation might include contributing to the organization's policies and working in teams to develop and execute programs and curricula. Increasingly, participation is becoming more student focused and more multidisciplinary. Organization leaders should work to eliminate disincentives for groups and individuals to sustain these important, learning-focused professional development activities.

For staff, development might include classroom and on-the-job training, job rotation, and pay for demonstrated skills. Increasingly, training, education, development, and organizational structure need to be tailored to a more diverse workforce and to more flexible, high-performance work practices.

Major challenges in the area of valuing faculty and staff include (1) demonstrating your leaders' commitment to the success of your faculty and staff, (2) recognition that goes beyond the regular compensation system, (3) development and progression within your organization, (4) sharing your organization's knowledge so your faculty and staff can better serve your students and stakeholders and contribute to achieving your strategic objectives, and (5) creating an environment that encourages creativity.

Education organizations need to build internal and external partnerships to better accomplish overall goals. Internal partnerships might include cooperation among leadership, faculty, and staff, such as agreements with unions. Partnerships with faculty and staff might entail faculty and staff development, cross-training, or new organizational structure such as high-performance work teams. Internal partnerships also might involve creating network relationships among your work units to improve flexibility, responsiveness, and knowledge sharing.

External partnerships might be with other schools, suppliers, businesses, business associations, and community and social service organizations—all stakeholders and potential contributors. Strategic partnerships or alliances are increasingly important kinds of external partnerships. Such partnerships might offer entry into new markets or a basis for new programs or services. Also, partnerships might permit the blending of your organization's core competencies or leadership capabilities with the complementary strengths and capabilities of partners.

Successful internal and external partnerships develop longer-term objectives, thereby creating a basis for mutual investments and respect. Partners should address the key requirements for success, means for regular communication, approaches to evaluating progress, and means for adapting to changing conditions.

Agility

Agility is an increasingly important measure of your organizational effectiveness. It requires a capacity for faster and more flexible response to the needs of your students and stakeholders. Many organizations are learning that an explicit focus on and measurement of response times help to drive the simplification of the organizational structure and work processes. All aspects of time performance are becoming increasingly important and should be among your key process measures. Other important benefits can be derived from this focus on time; time improvements often drive simultaneous improvements in organization, quality, and cost.

Focus on the Future

In today's education environment, a focus on the future requires understanding the short- and longer-term factors that affect your organization and the education market. Pursuit of educational excellence requires a strong future orientation and a willingness to make long-term commitments to students and key stakeholders—your community, employers, faculty, and staff. Your organization's planning should anticipate many factors, such as changes in educational requirements, instructional approaches, resource availability, student/stakeholder expectations, new partnering opportunities, technological developments, the evolving Internet environment, new student and market segments, demographics, community/societal expectations, and strategic changes by comparable organizations. Strategic objectives and resource allocations need to accommodate these influences. A major longer-term investment associated with your organization's improvement is the investment in creating and sustaining a mission-oriented assessment system focused on learning. This entails faculty education and training in assessment methods. In addition, the organization's leaders should be familiar with research findings and practical applications of assessment methods and learning style information. A focus on the future includes developing faculty and staff, creating opportunities for innovation, and anticipating public responsibilities.

Managing for Innovation

Innovation means making meaningful change to improve an organization's programs, services, and processes and to create new value for the organization's stakeholders. Innovation should lead your organization to new dimensions of performance. Innovation is no longer strictly the purview of research; innovation is important for providing ever-improving educational value to students and for improving all educational and operational processes. Organizations should be led so that innovation becomes part of the culture and is integrated into daily work.

Management by Fact

Organizations depend on the measurement and analysis of performance. Such measurements should derive from the organization's needs and strategy, and they should provide critical data and information about key processes and results. Many types of data and information are needed for performance management. Performance measurement should focus on student learning, which requires a comprehensive and integrated fact-based system—one that

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includes input data, environmental data, performance data, comparative/competitive data, data on faculty and staff, cost data, and operational performance measurement. Measurement areas might include students' backgrounds, learning styles, aspirations, academic strengths and weaknesses, educational progress, classroom and program learning, satisfaction with instruction and services, extracurricular activities, dropout/matriculation rates, and postgraduation success.

Analysis refers to extracting larger meaning from data and information to support evaluation, decision making, and operational improvement. Analysis entails using data to determine trends, projections, and cause and effect that might not otherwise be evident. Analysis supports a variety of purposes, such as planning, reviewing your overall performance, improving operations, change management, and comparing your performance with comparable organizations or with "best practices" benchmarks.

A major consideration in performance improvement and change management involves the selection and use of performance measures or indicators. *The measures or indicators you select should best represent the factors that lead to improved student, operational, and financial performance. A comprehensive set of measures or indicators tied to student, stakeholder, and/or organizational performance requirements represents a clear basis for aligning all activities with your organization's goals.* Through the analysis of data from your tracking processes, your measures or indicators themselves may be evaluated and changed to better support your goals.

Public Responsibility and Citizenship

An organization's leaders should stress its responsibilities to the public and the need to practice good citizenship. These responsibilities refer to basic expectations of your organization related to ethical practices and protection of public health, safety, and the environment. Planning should anticipate adverse impacts that might arise in facilities management, laboratory operations, and transportation. Ethical practices need to take into account proper use of public and private funds. Effective planning should prevent problems, provide for a forthright response if problems occur, and make available information and support needed to maintain public awareness, safety, and confidence.

Organizations should not only meet all local, state, and federal laws and regulatory requirements, but they should treat these and related requirements as opportunities for improvement "beyond mere compliance." This requires the use of appropriate measures in managing public responsibility.

Practicing good citizenship refers to leadership and support—within the limits of an organization's resources—of publicly important purposes. Such purposes might include improving education in your community, environmental excellence, resource conservation, community service, and sharing quality-related information. Leadership also entails influencing other organizations, private and public, to partner for these purposes.

Focus on Results and Creating Value

An organization's performance measurements need to focus on key results. Results should be used to create and balance value for your students and key stakeholders—the community, employers, faculty, staff, suppliers, and partners. By creating value for students and stakeholders, your organization contributes to improving overall education performance and builds loyalty. To meet the sometimes conflicting and changing aims that balancing value implies, organizational strategy should explicitly include student and key stakeholder requirements. This will help ensure that actions and plans meet differing student and stakeholder needs and avoid adverse impacts on any students and/or stakeholders. The use of a balanced composite of leading and lagging performance measures offers an effective means to communicate short- and longer-term priorities, monitor actual performance, and provide a clear basis for improving results.

Systems Perspective

The Baldrige Criteria provide a systems perspective for managing your organization to achieve performance excellence. The Core Values and the seven Baldrige Categories form the building blocks and integrating mechanism for the system. However, successful management of overall performance requires organization-specific synthesis and alignment. Synthesis means looking at your organization as a whole and builds upon key educational requirements, including your strategic objectives and action plans. Alignment means using the key linkages among requirements given in the Baldrige Categories, including the key measures/indicators.

Alignment is depicted in the Baldrige framework on page 5. Alignment includes your senior leaders' focus on strategic directions and on your students and stakeholders. It means that your senior leaders monitor, respond to, and manage performance based on your key results. Alignment includes using your measures/indicators to link your key strategies with your key processes and align your resources to improve overall performance and satisfy students and stakeholders.

Thus, a systems perspective means managing your whole organization, as well as its components, to achieve success.

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Linkage of the Education Criteria to the Baldrige Business Sector Criteria

The 2002 Education Criteria incorporate the Core Values and Concepts described above and are built upon the seven-part framework used in the Business Criteria. The rationale for the use of the same framework is that it is adaptable to the requirements of all organizations, including education organizations. However, this adaptation does not assume that these requirements are necessarily addressed in the same way. This adaptation to education, then, is largely a translation of the language and basic concepts of business excellence to similarly important concepts in education excellence. A major practical benefit derived from using a common framework for all sectors of the economy is that it fosters cross-sector cooperation and sharing of best practices information.

Education Criteria for Performance Excellence Framework

The Core Values and Concepts are embodied in seven Categories, as follows:

1. **Leadership**
2. **Strategic Planning**
3. **Student, Stakeholder, and Market Focus**
4. **Information and Analysis**
5. **Faculty and Staff Focus**
6. **Process Management**
7. **Organizational Performance Results**

The figure below provides the framework connecting and integrating the Categories.

From top to bottom, the framework has the following basic elements.

Baldrige Education Criteria for Performance Excellence Framework: A Systems Perspective

Organizational Profile

Your Organizational Profile (top of figure) sets the context for the way your organization operates. Your environment, key working relationships, and strategic challenges serve as an overarching guide for your organizational performance management system.

System

The system is composed of the six Baldrige Categories in the center of the figure that define the organization, its operations, and its results.

Leadership (Category 1), Strategic Planning (Category 2), and Student, Stakeholder, and Market Focus (Category 3) represent the leadership triad. These Categories are placed together to emphasize the importance of a leadership focus on strategy, students, and stakeholders. Senior leaders set your organizational direction, create a learning environment for your organization, and seek future opportunities for your organization.

Faculty and Staff Focus (Category 5), Process Management (Category 6), and Organizational Performance Results (Category 7) represent the results triad. Your organization's faculty and staff and its key processes accomplish the work of the organization that yields your performance results.

All actions point toward Organizational Performance Results—a composite of student, stakeholder, budgetary and financial, and operational performance results, including faculty and staff results and public responsibility.

The horizontal arrow in the center of the framework links the leadership triad to the results triad, a linkage critical to organizational success. Furthermore, the arrow indicates the central relationship between Leadership (Category 1) and Organizational Performance Results (Category 7). The two-headed arrow indicates the importance of feedback in an effective performance management system.

Information and Analysis

Information and Analysis (Category 4) are critical to the effective management of your organization and to a fact-based system for improving performance. Information and analysis serve as a foundation for the performance management system.

Criteria Structure

The seven Criteria Categories shown in the figure on page 5 are subdivided into Items and Areas to Address.

Items

There are 19 Items, each focusing on a major requirement. Item titles and point values are given on page 11. The Item format is shown on page 58.

Areas to Address

Items consist of one or more Areas to Address (Areas). Organizations should address their responses to the specific requirements of these Areas.

KEY CHARACTERISTICS OF THE EDUCATION CRITERIA

1. The Education Criteria focus on organizational performance results.

The Education Criteria focus on the key areas of organizational performance, given below.

Organizational performance areas:

(1) student learning results

(2) student- and stakeholder-focused results

(3) budgetary, financial, and market results

(4) faculty and staff results

(5) organizational effectiveness results

The use of this composite of indicators is intended to ensure that strategies are balanced—that they do not inappropriately trade off among important stakeholders, objectives, or short- and longer-term goals.

2. The Criteria are nonprescriptive and adaptable.

The Criteria are made up of results-oriented requirements. However, the Criteria do not prescribe

- that your organization should or should not have departments for quality, planning, or other functions;
- how your organization should be structured; or
- that different units in your organization should be managed in the same way.

These factors differ among organizations, and they are likely to change as needs and strategies evolve.

The Criteria are nonprescriptive for the following reasons:

(1) The focus is on results, not on procedures, tools, or organizational structure. Organizations are encouraged to develop and demonstrate creative, adaptive, and flexible approaches for meeting basic requirements. Nonprescriptive requirements are intended to foster incremental and major ("breakthrough") improvements, as well as basic change.

(2) Selection of tools, techniques, systems, and organizational structure usually depends on factors such as organization type and size, your organization's stage of development, and faculty and staff capabilities and responsibilities.

(3) Focus on common requirements, rather than on common procedures, fosters better understanding, communication, sharing, and alignment, while supporting innovation and diversity in approaches.

3. The Criteria support a systems perspective to maintaining organization-wide goal alignment.

The systems perspective to goal alignment is embedded in the integrated structure of the Core Values and Concepts, the Organizational Profile, the Criteria, and the results-oriented, cause-effect linkages among the Criteria Items.

Alignment in the Criteria is built around connecting and reinforcing measures derived from your organization's processes and strategy. These measures tie directly to student and stakeholder value and to overall performance. The use of measures thus channels different activities in consistent directions with less need for detailed procedures, centralized decision making, or process management. Measures thereby serve both as a communications tool and a basis for deploying consistent overall performance requirements. Such alignment ensures consistency of purpose while also supporting agility, innovation, and decentralized decision making.

A systems perspective to goal alignment, particularly when strategy and goals change over time, requires dynamic linkages among Criteria Items. In the Criteria, action-oriented cycles of learning take place via feedback between processes and results.

The learning cycles have four, clearly defined stages:

(1) planning, including design of processes, selection of measures, and deployment of requirements

(2) execution of plans

(3) assessment of progress, taking into account internal and external results

(4) revision of plans based upon assessment findings, learning, new inputs, and new requirements

4. The Criteria support goal-based diagnosis.

The Criteria and the Scoring Guidelines make up a two-part diagnostic (assessment) system. The Criteria are a set of 19 performance-oriented requirements. The Scoring Guidelines spell out the assessment dimensions—Approach, Deployment, and Results—and the key factors used to assess each dimension. An assessment thus provides a profile of strengths and opportunities for improvement relative to the 19 basic requirements. In this way, assessment leads to actions that contribute to performance improvement in all areas, as described in the shaded box above. This diagnostic assessment is a useful management tool that goes beyond most performance reviews and is applicable to a wide range of strategies and management systems.

Integration of Key Education Themes

For the adaptation of the Business Criteria for Performance Excellence to education, several important education concepts have been given careful consideration and are addressed throughout the Education Criteria.

Mission Specificity

Although education organizations typically share common aims, individual organizational missions, roles, and programs vary greatly. Use of a single set of Criteria to cover all your organizational requirements means that these requirements need to be interpreted in terms of your own organizational mission. This is necessary because specific requirements and critical success factors differ from organization to organization. For this reason, effective use of the Criteria depends on putting these mission requirements into operation consistently across the seven Categories of the Criteria framework. In particular, Strategic Planning (Category 2) needs to address your key mission requirements, setting the stage for the interpretation of your other requirements. For example, results reported in Organizational Performance Results (Category 7) need to reflect results consistent with your organization's mission and strategic objectives.

The Education Criteria are most explicit in the area of student learning, as this requirement is common to all education organizations regardless of their larger missions. Despite this commonality, the focus of student learning and development depends on your organizational mission. For example, results reported by trade schools, engineering schools, and music schools would be expected to differ because they would reflect each organization's mission. Nevertheless, all three types of organizations would be expected to show year-to-year improvements in their mission-specific results to demonstrate the effectiveness of their performance improvement efforts.

Customers

The Business Criteria for Performance Excellence use the generic term "customers" to describe the users of products or services. Although market success depends heavily on user preference, other stakeholders must be considered as well when setting overall organizational requirements. In the Education Criteria, the focus is on students and stakeholders, the key beneficiaries of educational programs and services.

As do businesses, education organizations must respond to a variety of requirements—all of which should be incorporated into responses to the Education Criteria. The adaptation of the Business Criteria to education includes a specific approach for defining key student requirements. This approach distinguishes between students and stakeholders for purposes of clarity and emphasis. Stakeholders include parents, employers, other schools, and communities. The requirements for current students differ from those for future students. Requirements for current students are more concrete, specific, and immediate; determining requirements for future students is part of the organization's planning and should take into account changing student populations and changing requirements future students must be able to meet. A major challenge organizations face is "bridging" current student needs and the needs of future students. This requires an effective organizational learning/change strategy.

Education organizations must also address the variety of requirements of their various stakeholders. Stakeholders' requirements are of two types: (1) requirements directly related to your organization's educational services and (2) requirements of the stakeholders themselves. For example, parents might request services related to their children's educational program, such as integration of math and science curricula (type 1), and the parents might also request special meeting times with the school to accommodate their work schedules (type 2). Many of the needs of businesses and other stakeholders are actually needs that must be addressed in your organization's educational services for students. The Education Criteria place primary emphasis on such needs because your organization's success depends heavily on translating these needs into effective educational services and experiences. In addition, successful operation of an organization may depend on satisfying accreditation, environmental, legal, and other requirements. Thus, meaningful responses to the Criteria need to incorporate all relevant requirements that organizations must meet to be successful.

Concept of Excellence

The concept of excellence built into the Criteria is that of "value-added" demonstrated performance. Such performance has two manifestations: (1) year-to-year improvement in key measures/indicators of performance, especially student learning, and (2) demonstrated leadership in performance and performance improvement relative to comparable organizations and/or to appropriate benchmarks.

This concept of excellence is used because (1) it places the major focus on teaching/learning strategies; (2) it poses similar types of challenges for all organizations regardless of resources and/or incoming student preparation/abilities; (3) it is most likely to stimulate learning-related research and to offer a means to disseminate the results of such research; and (4) it offers the potential to create an expanding body of knowledge of successful teaching/learning practices in the widest range of organizations.

The focus on value-added contributions by your organization does not presuppose manufacturing-oriented, mechanistic, or additive models of student development. Also, the use of a value-added concept does not imply that your organization's management system should include documented procedures or attempt to define "conformity" or "compliance." Rather, the performance concept in the Education Criteria means that your organization should view itself as a key developmental influence on students (though not the only influence) and that your organization should seek to understand and optimize its influencing factors, guided by an effective assessment strategy.

Assessment Strategy

Central and crucial to the success of the concept of excellence in the Education Criteria is a well-conceived and well-executed assessment strategy. The characteristics of such a strategy should include the following:

- Clear ties should be established between what is assessed and your organization's mission and objectives. This means not only what your students know but also what they are able to do.
- There should be a strong focus on improvement—of your students' performance, your faculty's capabilities, and your organization's program performance.
- An embedded, ongoing assessment with prompt feedback should be an integral component.
- The assessment also should be based on curricula, reference appropriate criteria, and address your key learning goals and your overall performance requirements.
- Clear guidelines should be established regarding how your assessment results will be used and how they will not be used.
- There should be an ongoing evaluation of your assessment system itself to improve the connection between assessment and student success. Success factors should be developed on an ongoing basis based on external requirements such as those derived from your markets and from other organizations.

Primary Focus on Teaching and Learning

Although the Education Criteria framework is intended to address all organizational requirements, including research and service, primary emphasis is placed on teaching and learning. This is done for three main reasons:

(1) Teaching and learning are the principal goals of education organizations. Thus, sharing successful teaching and learning strategies and methods would have the greatest impact on improving the nation's education organizations.

(2) Those who encouraged the creation of a Baldrige Award category for education cited improvement in teaching and learning as their primary or only rationale for such an award.

(3) Only a small percentage of education organizations engage in research. Peer review systems exist to evaluate research. Funding organizations and businesses provide avenues to channel the directions of much research. Numerous excellent forums and media already exist for sharing research results. Much of the research performed in education organizations involves students as part of their own overall education. Thus, the educational role of research is incorporated in the Education Criteria as part of teaching and learning. Other important aspects of research—faculty development and student/faculty recruitment—are also addressed in the Criteria.

CHANGES FROM THE 2001 EDUCATION CRITERIA

The Education Criteria for Performance Excellence have evolved to help educators address changing student and stakeholder needs through alignment of strategy, curriculum, assessment, and faculty and staff development. The Education Criteria have continually progressed toward a systems perspective of overall organizational performance management.

Each year, the decision whether to revise the Criteria must balance two contrasting considerations. On one hand, there is a need to maintain Education Criteria that are at the leading edge of validated management practice to help educators address the increasingly complex challenges they face; on the other hand, there is a desire to stabilize the Criteria to allow users to have continuity in their use of the Criteria. Recognizing the significant challenges associated with the changes in Categories 3 (Student, Stakeholder, and Market Focus), 4 (Information and Analysis), and 6 (Process Management) made in the 2001 Education Criteria and the challenging systems perspective provided by linkage to the new Organizational Profile, the decision was made to make no revisions to the Education Criteria for 2002. In addition, no revisions were made to the Item Notes or Category and Item Descriptions.

The most significant changes in the Education Criteria book for 2002 are summarized as follows:

- The Glossary of Key Terms has been almost doubled in size.
- A new diagram has been added to describe the steps toward a mature process approach.

Minor wording improvements have been made in other sections of the Criteria book, with the sections specifically mentioned above excluded from any changes.

Glossary of Key Terms

In total, 22 new words have been added to the glossary. Several of these words often are used in groupings:

- basic requirements, overall requirements, multiple requirements
- purpose, vision, mission, values
- goals, performance projections, benchmarks (previously defined)
- levels, trends
- alignment (previously defined), integration

The glossary definitions should help clarify the meaning of these terms and their relationship to the other terms within these groupings.

Process Approach Diagram (page 57)

A diagram and brief descriptors have been provided to help Criteria users understand the growth in organizational maturity associated with progress from "reacting to problems" to an "integrated approach" to process management.

Are We Making Progress?

If you have been using the Education Criteria in your organization and want to evaluate how much progress has been made, consider requesting our recently developed questionnaire, *Are We Making Progress?* This short questionnaire is organized according to the seven Baldrige Criteria Categories. You can use it with your senior leadership team; with a select subset of your administrators, faculty, and staff; or with all administrators, faculty, and staff. The responses you receive could help you improve your communications and help focus your improvement efforts.

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P	**Preface: Organizational Profile**	
P.1	Organizational Description	
P.2	Organizational Challenges	
2002 Categories/Items		**Point Values**
1	**Leadership**	**120**
1.1	Organizational Leadership	80
1.2	Public Responsibility and Citizenship	40
2	**Strategic Planning**	**85**
2.1	Strategy Development	40
2.2	Strategy Deployment	45
3	**Student, Stakeholder, and Market Focus**	**85**
3.1	Knowledge of Student, Stakeholder, and Market Needs and Expectations	40
3.2	Student and Stakeholder Relationships and Satisfaction	45
4	**Information and Analysis**	**90**
4.1	Measurement and Analysis of Organizational Performance	50
4.2	Information Management	40
5	**Faculty and Staff Focus**	**85**
5.1	Work Systems	35
5.2	Faculty and Staff Education, Training, and Development	25
5.3	Faculty and Staff Well-Being and Satisfaction	25
6	**Process Management**	**85**
6.1	Education Design and Delivery Processes	50
6.2	Student Services	20
6.3	Support Processes	15
7	**Organizational Performance Results**	**450**
7.1	Student Learning Results	200
7.2	Student- and Stakeholder-Focused Results	70
7.3	Budgetary, Financial, and Market Results	40
7.4	Faculty and Staff Results	70
7.5	Organizational Effectiveness Results	70
	TOTAL POINTS	**1000**

Note: The Scoring System used with the Criteria Items in a Baldrige assessment can be found on pages 55–56.

P Preface: Organizational Profile

The ***Organizational Profile*** is a snapshot of your organization, the key influences on how you operate, and the key challenges you face.

P.1 Organizational Description

Describe your organization's environment and your key relationships with students, stakeholders, suppliers, and other partners.

Within your response, include answers to the following questions:

a. Organizational Environment
   (1) What are your organization's main educational programs and/or services? Include a description of how they are delivered to students.
   (2) What is your organizational context/culture? Include your purpose, vision, mission, and values, as appropriate.
   (3) What is your faculty and staff profile? Include education levels, workforce and job diversity, bargaining units, use of contract employees, and special safety requirements, as appropriate.
   (4) What are your major technologies, equipment, and facilities?
   (5) What is the legal/regulatory environment under which your organization operates? Include mandated standards, curricula, programs, and assessments; occupational health and safety regulations; accreditation requirements; and environmental and financial regulations. Also include district boundaries and service offering restrictions, as appropriate.

b. Organizational Relationships
   (1) What are your key student and stakeholder groups and/or market segments? What are their key requirements for your programs and services? Include how these requirements differ among student and stakeholder groups and/or market segments, as appropriate.
   (2) What are your key supplier and partnering relationships and communication mechanisms?

Notes:

N1. Student and stakeholder groups and market segment requirements (P.1b[1]) might include special accommodation, customized curricula, reduced class size, customized degree requirements, student advising, and electronic communication.

N2. Communication mechanisms (P.1b[2]) should be two-way and might be in person, electronic, by telephone, and/or written. For many organizations, these mechanisms might be changing.

Item notes serve three purposes: (1) to clarify terms or requirements presented in Items, (2) to give instructions on responding to the Criteria Item requirements, and (3) to indicate key linkages to other Items. In all cases, the intent is to help you respond to the Item requirements.

For definitions of the following **key terms**, see pages 34–38: education delivery, how, mission, partnerships, purpose, student segments, values, and vision.

P.2 Organizational Challenges

Describe your organization's competitive environment, your key strategic challenges, and your system for performance improvement.

Within your response, include answers to the following questions:

a. Competitive Environment

(1) What is your competitive position? Include your relative size and growth in the education sector and the numbers and types of your competitors.

(2) What are the principal factors that determine your success relative to your competitors and other organizations delivering similar services? Include any changes taking place that affect your competitive situation.

b. Strategic Challenges

What are your key strategic challenges? Include education and learning, operational, human resource, and community challenges, as appropriate.

c. Performance Improvement System

How do you maintain an organizational focus on performance improvement? Include your approach to systematic evaluation and improvement of key processes and to fostering organizational learning and knowledge sharing.

Notes:

N1. Factors (P.2a[2]) might include differentiators such as program leadership, services, e-services, geographic proximity, and program options.

N2. Challenges (P.2b) might include electronic communication with key stakeholders, reduced educational program introduction cycle times, student transitions, entry into new markets or segments, changing demographics and competition, student persistence, and faculty/staff retention.

N3. Performance improvement (P.2c) is an assessment dimension used in the Scoring System to evaluate the maturity of organizational approaches and deployment (see pages 55–56). This question is intended to help you and the Baldrige Examiners set a context for your approach to performance improvement.

For definitions of the following **key terms**, see pages 37–38: strategic challenges and systematic.

Importance of Your Organizational Profile

Your Organizational Profile is critically important because

- it is the most appropriate starting point for self-assessment and for writing an application;
- it helps you identify potential gaps in key information and focus on key performance requirements and results;
- it is used by the Examiners and Judges in all stages of application review, including the site visit, to understand your organization and what you consider important; and
- it also may be used by itself for an initial self-assessment. If you identify topics for which conflicting, little, or no information is available, it is possible that your assessment need go no further and you can use these topics for action planning.

Page Limit

For Baldrige Award applicants, the Organizational Profile is limited to five pages. These are not counted in the overall application page limit. Typing and format instructions for the Organizational Profile are the same as for the application. These instructions are given in the *Baldrige Award Application Forms* booklet. Ordering information is given on page 63.

1 Leadership (120 pts.)

The ***Leadership*** Category examines how your organization's senior leaders address your organizational values, directions, and performance expectations, as well as a focus on students and stakeholders, student learning, empowerment, innovation, and organizational learning. Also examined is how your organization addresses its responsibilities to the public and supports its key communities.

1.1 Organizational Leadership (80 pts.) — Approach-Deployment

Describe how senior leaders guide your organization, including how they review organizational performance.

Within your response, include answers to the following questions:

a. Senior Leadership Direction

(1) How do senior leaders set and deploy your organizational values, short- and longer-term directions, and performance expectations, including a focus on creating and balancing value for students and stakeholders? Include how senior leaders communicate values, directions, and expectations through your leadership system and to all faculty and staff.

(2) How do senior leaders create an environment that promotes ethical values, equity for all students, empowerment, innovation, safety, organizational agility, and organizational and faculty/staff learning?

b. Organizational Performance Review

(1) How do senior leaders review organizational performance and capabilities to assess organizational success; performance relative to competitors, comparable schools, and/or other appropriately selected organizations; progress relative to short- and longer-term goals, including student achievement goals; and the ability to address changing organizational needs? Include the key performance measures regularly reviewed by your senior leaders. Also, include your key recent performance review findings.

(2) How are organizational performance review findings translated into priorities for improvement and opportunities for innovation? How are they deployed throughout your organization and, as appropriate, to your feeder and/or receiving schools and suppliers/partners to ensure organizational alignment?

(3) How do senior leaders use organizational performance review findings to improve both their own leadership effectiveness and your leadership system?

Notes:

N1. The term "organization," as used in the Criteria, refers to the unit being assessed. The unit might be a school, a school district, a postsecondary institution, or a major academic unit within a college or university.

N2. The term "stakeholder," as used in the Criteria, might include faculty, staff, parents, parent organizations, social service organizations, boards, alumni, businesses, and local/professional communities.

N3. The term "supplier/partners," as used in the Criteria, refers to those who provide student services such as social services, before-/after-school day care, external bookstores, and transportation; partners such as future employers of students; and suppliers of goods for operations such as computing, photocopying, and grounds maintenance.

N4. Organizational directions (1.1a[1]) relate to strategic objectives and action plans described in Items 2.1 and 2.2.

N5. Senior leaders' organizational performance reviews (1.1b) should be informed by organizational performance analyses described in 4.1b and strategic objectives and action plans described in Items 2.1 and 2.2.

N6. Leadership effectiveness improvement (1.1b[3]) should be supported by formal and/or informal faculty and staff feedback/surveys.

N7. Your organizational performance results should be reported in Items 7.1, 7.2, 7.3, 7.4, and 7.5.

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Item responses are assessed by considering the Criteria Item requirements and the maturity of your approaches, breadth of deployment, and strength of your improvement process and results relative to the Scoring System. Refer to the Scoring System information on pages 55–56.

For definitions of the following **key terms**, see pages 33–38: alignment, approach, deployment, empowerment, goals, innovation, leadership system, measures, performance, senior leaders, stakeholders, and values.

For additional description of this Item, see page 39.

1.2 Public Responsibility and Citizenship (40 pts.)

Approach-Deployment

Describe how your organization addresses its responsibilities to the public and practices good citizenship.

Within your response, include answers to the following questions:

a. Responsibilities to the Public

(1) How do you address the impacts on society of your operations? Include your key processes, measures, and targets for safety, regulatory, accreditation, and legal requirements and for addressing risks associated with your operations.

(2) How do you anticipate public concerns with current and future services and operations? How do you prepare for these concerns in a proactive manner?

(3) How do you accomplish ethical practices in all transactions and interactions with students and stakeholders?

b. Support of Key Communities

How do your organization, your senior leaders, your faculty and staff, and students actively support and strengthen your key communities? Include how you identify key communities and determine areas of emphasis for organizational involvement and support. Include how community involvement reflects your organization's mission and/or values.

Notes:

N1. Public responsibilities in areas critical to your organization also should be addressed in Strategy Development (Item 2.1) and/or in Process Management (Category 6). Key results, such as results of regulatory, legal, and accreditation compliance, should be reported as Organizational Effectiveness Results (Item 7.5).

N2. Areas of community support appropriate for inclusion in 1.2b might include your efforts to strengthen local community services, community education, the environment, and practices of professional associations.

N3. Health and safety of faculty and staff are not addressed in Item 1.2; you should address these factors in Item 5.3.

For a definition of the following **key term**, see page 37: process.

For additional description of this Item, see pages 39–40.

2 Strategic Planning (85 pts.)

The ***Strategic Planning*** Category examines how your organization develops strategic objectives and action plans. Also examined are how your chosen strategic objectives and action plans are deployed and how progress is measured.

2.1 Strategy Development (40 pts.)

Approach-Deployment

Describe how your organization establishes its strategic objectives, including addressing key student and stakeholder needs; enhancing its performance relative to competitors, comparable schools, and/or appropriately selected organizations; and enhancing its overall performance.

Within your response, include answers to the following questions:

a. Strategy Development Process

(1) What is your overall strategic planning process? Include key steps, key participants, and your short- and longer-term planning time horizons.

(2) How do you ensure that planning addresses the following key factors? Briefly outline how relevant data and information are gathered and analyzed to address these factors:

- current and future student/stakeholder and market needs, expectations, and opportunities, including student achievement
- key external factors, requirements, and opportunities, including your suppliers' and/or partners' strengths and weaknesses, your competitive environment, and your capabilities relative to competitors, comparable schools, and/or appropriately selected organizations
- technological and other key changes that might affect your services and/or how you operate
- your strengths and weaknesses, including faculty and staff and other resources
- your capability to assess student learning and development
- ethical, societal, budgetary, and other potential risks

b. Strategic Objectives

(1) What are your key short- and longer-term strategic objectives and your timetable for accomplishing them? Include key goals/targets, as appropriate.

(2) How do your strategic objectives address the challenges identified in response to P.2 in your Organizational Profile? How do you ensure that your strategic objectives balance the needs of students and stakeholders?

Notes:

N1. "Strategy development" refers to your organization's approach (formal or informal) to preparing for the future. Strategy development might utilize various types of forecasts, projections, options, scenarios, and/or other approaches to envisioning the future for purposes of decision making and resource allocation.

N2. "Strategy" should be interpreted broadly. Strategy might be built around or lead to any or all of the following: addition or termination of services and programs, modifications in instructional design, use of technology, changes in testing and/or adoption of standards, services to new/changing student populations, research priorities, and new partnerships and alliances.

N3. Challenges (2.1b[2]) addressed in your strategy might include rapid response, customization of educational offerings, understanding a changing education market, rapid innovation, Web-based stakeholder/partner/supplier relationship management, and information management. Responses to Item 2.1 should focus on your specific challenges—those most important to your students' success and to strengthening your organization's overall performance.

N4. Item 2.1 addresses your overall organizational strategy, which might include changes in educational services and programs. However, the Item does not address educational service and program design; you should address these factors in Item 6.1.

For a definition of the following **key term**, see pages 37–38: strategic objectives.

For additional description of this Item, see pages 40–41.

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2.2 Strategy Deployment (45 pts.)

Approach-Deployment

Describe how your organization converts its strategic objectives into action plans. Summarize your organization's action plans and related key performance measures/indicators. Project your organization's future performance on these key performance measures/indicators.

Within your response, include answers to the following questions:

a. Action Plan Development and Deployment

(1) How do you develop and deploy action plans to achieve your key strategic objectives? Include how you allocate resources to ensure accomplishment of your action plans.

(2) What are your key short- and longer-term action plans? Include key changes, if any, in your services/programs, in your anticipated or planned student and stakeholder markets, and in how you operate.

(3) What are your key human resource plans that derive from your short- and longer-term strategic objectives and action plans?

(4) What are your key performance measures/indicators for tracking progress relative to your action plans? How do you ensure that your overall action plan measurement system achieves organizational alignment and covers all key deployment areas, students, and stakeholders?

b. Performance Projection

What are your performance projections for your key measures/indicators for both your short- and longer-term planning time horizons? How does your projected performance compare with the performance of competitors, comparable schools, and appropriately selected organizations; key benchmarks; goals; and past performance, as appropriate?

Notes:

N1. Action plan development and deployment are closely linked to other Items in the Criteria. Examples of key linkages are

- Item 1.1 for how your senior leaders set and communicate directions;
- Category 3 for gathering knowledge of students, stakeholders, and markets as input to your strategy and action plans and for deploying action plans;
- Category 4 for information and analysis to support your key information needs, to support your development of strategy, to provide an effective basis for your performance measurements, and to track progress relative to your strategic objectives and action plans;
- Category 5 for your work system needs; faculty and staff education, training, and development needs; and related human resource factors resulting from action plans;
- Category 6 for process requirements resulting from your action plans; and
- Item 7.5 for specific accomplishments relative to your organizational strategy.

N2. Human resource plans might include faculty, academic staff members, nonacademic staff members, contract employees, and volunteers.

N3. Measures/indicators of projected performance (2.2b) might include changes resulting from innovations in education delivery and/or use of technology, redirection of resources, effectiveness of research and services, improved performance of administrative and other support functions, and improvement in safety.

For definitions of the following **key terms**, see pages 33–36: action plans, benchmarks, measures and indicators, and performance projections.

For additional description of this Item, see pages 41–42.

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3 Student, Stakeholder, and Market Focus (85 pts.)

The ***Student, Stakeholder, and Market Focus*** Category examines how your organization determines requirements, expectations, and preferences of students, stakeholders, and markets. Also examined is how your organization builds relationships with students and stakeholders and determines the key factors that attract students and partners and lead to student and stakeholder satisfaction and persistence and to excellence in educational services/programs.

3.1 Knowledge of Student, Stakeholder, and Market Needs and Expectations (40 pts.)

Approach-Deployment

Describe how your organization determines requirements, expectations, and preferences of current and future students, stakeholders, and markets to ensure the continuing relevance of your educational programs and support services, to develop new opportunities, and to create an overall climate conducive to learning and development for all students.

Within your response, include answers to the following questions:

a. Knowledge of Student and Market Needs and Expectations

(1) How do you determine which student segments and/or markets your educational programs will address? How do you include student segments currently served by other education providers and other potential segments and/or markets in this determination?

(2) How do you listen and learn to determine students' general and special needs and expectations and their relative importance/value to students' and stakeholders' decision making for purposes of educational program and support service planning, marketing, improvements, and other service development? In this determination, how do you use relevant information from current, former, and future students, student segments, and stakeholders? Include information on utilization of offerings, facilities, and services; complaints; demographic data and trends that may bear upon enrollments and needs; changing requirements and expectations your graduates will face; changing requirements and expectations resulting from national, state, or local requirements; and education alternatives available to your pool of future students. If determination methods vary for different student segments or stakeholder groups, describe the key differences in your determination methods.

(3) How do you keep your listening and learning methods current with educational service needs and directions?

b. Knowledge of Stakeholder Needs and Expectations

(1) How do you use relevant information from current, former, and future stakeholders to determine and anticipate changing stakeholder needs and expectations? Include complaints; demographic data and trends that may bear upon stakeholder needs; changing requirements and expectations that stakeholders will face; changing requirements and expectations resulting from national, state, or local requirements; and alternatives available to your pool of stakeholders. If determination methods vary for different stakeholder groups, describe the key differences in your determination methods.

(2) How do you keep your listening and learning methods current with stakeholder needs and directions?

Notes:

N1. "Student segments" (3.1a[1]) refers to groups of students with similar needs. The basis for the groupings might reflect their career interests, learning styles, service delivery (classroom and/or Web-based), living status (residential versus commuter), family income, or other factors.

N2. Student needs might take into account information from your students and key stakeholders, such as families, employers, and other schools. Needs include educational, developmental, and other requirements, such as safety and social and ethical development.

N3. Information on "trends" (3.1a[2]) refers to information your organization collects that shows year-to-year changes. Such changes might reflect specific and/or local factors important to your organization. In some cases, such local factors could be different from national trends.

N4. Keeping your listening and learning methods current with educational service needs and directions (3.1a[3]) might include use of current and new technology, such as Web-based data gathering.

For additional description of this Item, see pages 42–43.

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3.2 Student and Stakeholder Relationships and Satisfaction (45 pts.)

Approach-Deployment

Describe how your organization builds relationships to attract and retain students, to enhance student learning and the organization's overall ability to deliver its services, to satisfy students and stakeholders, and to develop new opportunities. Describe also how your organization determines student and stakeholder satisfaction.

Within your response, include answers to the following questions:

a. Student and Stakeholder Relationships

(1) How do you build relationships to attract and retain students, to enhance student performance and the organization's overall ability to deliver its services, to satisfy students and stakeholders, and to foster new and continuing interactions and positive referrals?

(2) How do you determine key student and stakeholder contact requirements and maintain effective stakeholder relationships, including partnerships with key stakeholders, to pursue common purposes? How do you ensure that these requirements are deployed to all people involved in maintaining these relationships? What key measures/indicators do you use to monitor the effectiveness and progress of the organization's key relationships? Include a summary of your key access mechanisms for stakeholders to seek information, to pursue common purposes, and to make complaints.

(3) What is your complaint management process? Include how you ensure that complaints are resolved effectively and promptly and that all complaints are aggregated and analyzed for use in improvement throughout your organization and by your partners, as appropriate.

(4) How do you keep your approaches to relationship building and student and stakeholder access current with educational service needs and directions?

b. Student and Stakeholder Satisfaction Determination

(1) How do you determine student and stakeholder satisfaction and dissatisfaction and use this information for improvement? Include how you ensure that your measurements capture actionable information that reflects your organization's learning and developmental climate and predicts students' and stakeholders' future interactions with your organization and/or potential for positive referral. Describe significant differences in determination methods for different student and stakeholder groups.

(2) How do you follow up on your interactions with students and key stakeholders to receive prompt and actionable feedback?

(3) How do you obtain and use information on the satisfaction of students and stakeholders relative to benchmarks or to the satisfaction of these groups with your competitors or other organizations delivering similar educational services, as appropriate?

(4) How do you keep your approaches to determining satisfaction current with educational service needs and directions?

Notes:

N1. Student and stakeholder relationships (3.2a) might include the development of partnerships or alliances.

N2. "Partnerships" (3.2a[2]) refers to cooperative relationships with other schools, places of work, and parents, as appropriate, for purposes of ensuring effective transitions for students. Partners might include schools for which "feeder" relationships exist, into or out of your school, whether this relationship is formal or informal. Partnering organizations also might include social service organizations that are involved in helping students make effective transitions.

N3. Determining student and stakeholder satisfaction and dissatisfaction (3.2b) might include use of any or all of the following: surveys, formal and informal feedback, dropout rates, absenteeism, student conflict data, and complaints. Information might be gathered on the Internet, through personal contact or a third party, or by mail.

N4. Student and stakeholder satisfaction measurements might include both a numerical rating scale and descriptors for each unit in the scale. Actionable student and stakeholder satisfaction measurements provide useful information about specific educational program/service features, delivery, interactions, and transactions that bear upon student development and learning and the students' and stakeholders' future actions (e.g., transfer and/or positive referral). Measures might include trends and levels in performance of student/stakeholder services or the effectiveness of handling student/stakeholder complaints (e.g., complaint response time, effective resolution of complaints, and the percentage of complaints resolved on first contact).

N5. Your student and stakeholder satisfaction and dissatisfaction results should be reported in Item 7.2.

For additional description of this Item, see pages 43–44.

4 Information and Analysis (90 pts.)

The ***Information and Analysis*** Category examines your organization's information management and performance measurement systems and how your organization analyzes performance data and information.

4.1 Measurement and Analysis of Organizational Performance (50 pts.)

Approach-Deployment

Describe how your organization provides effective performance management systems for measuring, analyzing, aligning, and improving student and operational performance at all levels and in all parts of your organization.

Within your response, include answers to the following questions:

a. Performance Measurement

(1) How do you gather and integrate data and information from all sources to support daily operations and organizational decision making as an education organization?

(2) How do you select and align measures/indicators for tracking your daily operations, overall organizational performance, and education climate?

(3) How do you select and ensure the effective use of key comparative data and information from within and outside the academic community?

(4) How do you keep your performance measurement system current with educational service needs and directions?

b. Performance Analysis

(1) What analyses do you perform to support your senior leaders' organizational performance review and your organization's strategic planning?

(2) How do you communicate the results of organizational-level analysis to faculty and staff and/or educational programs to enable effective support for decision making?

(3) How do you align the results of organizational-level analysis with your key education results, strategic objectives, and action plans? How do these results provide the basis for projections of continuous and breakthrough improvements in performance?

Notes:

N1. Performance measurement is used in fact-based decision making for setting and aligning organizational directions and resource use at the classroom, departmental, key process, school/college, and whole organization levels.

N2. Comparative data and information sources (4.1a[3]) include benchmarking and competitive comparisons. "Benchmarking" refers to identifying processes and results that represent best practices and performance for similar activities, inside or outside the academic community. Competitive comparisons relate your organization's performance to that of comparable organizations and/or student populations and competing organizations, as appropriate.

N3. Analysis includes examining trends; organizational, academic community, and technology projections; and comparisons, cause-effect relationships, and correlations intended to support your performance reviews, help determine root causes, and help set priorities for resource use. Accordingly, analysis draws upon all types of data: student, student group, school program, stakeholder, market, operational, budgetary, and comparative data.

N4. The results of organizational performance analysis should contribute to your senior leaders' organizational performance review in 1.1b and organizational strategic planning in Category 2.

N5. Your organizational performance results should be reported in Items 7.1, 7.2, 7.3, 7.4, and 7.5.

For definitions of the following **key terms**, see pages 33–34: analysis and effective.

For additional description of this Item, see pages 44–45.

4.2 Information Management (40 pts.)

Describe how your organization ensures the quality and availability of needed data and information for faculty and staff, students and stakeholders, and suppliers/partners.

Within your response, include answers to the following questions:

a. Data Availability
   (1) How do you make needed data and information available? How do you make them accessible to faculty and staff, students and stakeholders, and suppliers/partners, as appropriate?
   (2) How do you ensure data and information integrity, reliability, accuracy, timeliness, security, and confidentiality?
   (3) How do you keep your data and information availability mechanisms current with educational service needs and directions?

b. Hardware and Software Quality
   (1) How do you ensure that hardware and software are reliable and user friendly?
   (2) How do you keep your software and hardware systems current with educational service needs and directions?

Notes:

N1. Data availability (4.2a) is of growing importance as the Internet and school Web sites are used increasingly for student-school and stakeholder-school interactions and intranets become more important as a major source of organization-wide communications.

N2. Data and information access (4.2a[1]) might be via electronic and other means.

For additional description of this Item, see page 46.

5 Faculty and Staff Focus (85 pts.)

The ***Faculty and Staff Focus*** Category examines how your organization motivates and enables faculty and staff to develop and utilize their full potential in alignment with your organization's overall objectives and action plans. Also examined are your organization's efforts to build and maintain a work environment and faculty and staff support climate conducive to performance excellence and to personal and organizational growth.

5.1 Work Systems (35 pts.) Approach-Deployment

Describe how your organization's work and jobs, compensation, career progression, and related workforce practices motivate and enable faculty and staff and the organization to achieve high performance.

Within your response, include answers to the following questions:

a. Work Systems

(1) How do you organize and manage work and jobs to promote cooperation, initiative/innovation, your organizational culture, and the flexibility to keep current with educational service needs? How do you achieve effective communication and knowledge/skill sharing across departments, jobs, and locations, as appropriate?

(2) How do you motivate faculty and staff to develop and utilize their full potential? Include formal and/or informal mechanisms you use to help faculty and staff attain job- and career-related development/learning objectives and the role of administrators, faculty leaders, and supervisors in helping faculty and staff attain these objectives.

(3) How does your faculty and staff performance management system, including feedback to faculty and staff, support high performance and a student and stakeholder focus? How do your compensation, recognition, and related reward/incentive practices reinforce these objectives, including your overall objectives for student learning and development?

(4) How do you accomplish effective succession planning for senior leadership and career progression throughout the organization?

(5) How do you identify characteristics and skills needed by potential faculty and staff? How do you recruit, hire, and retain new faculty and staff? How do your work systems capitalize on the diverse ideas, cultures, and thinking of the communities with which you interact (your hiring and student and stakeholder communities)?

Notes:

N1. "Faculty and staff" refers to your organization's permanent, temporary, and part-time personnel, as well as any contract employees supervised by your organization. Faculty and staff include team leaders, supervisors, faculty leaders, and administrators at all levels. Contract staff supervised by a contractor should be addressed in student services, educational processes, or support processes in Category 6.

N2. "Your organization's work" refers to how your faculty and staff are organized and/or organize themselves in formal and informal, temporary, or longer-term units. This might include work teams, curriculum design teams, problem-solving teams, centers of excellence, research teams, cross-functional teams, and departments—self-managed or managed by supervisors.

"Jobs" refers to responsibilities, authorities, and tasks of individuals. In some work systems, jobs might be shared by a team.

N3. Compensation and recognition (5.1a[3]) include promotions and bonuses that might be based upon performance, skills acquired, and other factors. Recognition includes monetary and nonmonetary, formal and informal, and individual and group mechanisms. Recognition systems for volunteers who contribute to the work of your organization should be included, as appropriate.

For definitions of the following **key terms**, see pages 35, 36, and 38: high-performance work, performance excellence, and work systems.

For additional description of this Item, see pages 46–47.

5.2 Faculty and Staff Education, Training, and Development (25 pts.)

Approach-Deployment

Describe how your organization's faculty and staff education and training support the achievement of your overall objectives, including building faculty and staff knowledge, skills, and capabilities and contributing to high performance.

Within your response, include answers to the following questions:

a. Faculty and Staff Education, Training, and Development

(1) How do faculty and staff education and training contribute to the achievement of your action plans? How does your education and training approach balance short- and longer-term organizational objectives and faculty and staff needs, including certification, licensure, development, learning, and career progression?

(2) How do you seek and use input from faculty and staff and their senior leaders and supervisors/administrators on education and training needs and delivery options?

(3) How do you address in your faculty and staff education, training, and development your key organizational needs associated with technological change, leadership/supervisor development, new faculty and staff orientation, safety, performance measurement/improvement, and diversity?

(4) How do you deliver faculty and staff education and training? Include formal and informal delivery, including mentoring and other approaches, as appropriate. How do you evaluate the effectiveness of faculty and staff education and training, taking into account individual and organizational performance?

(5) How do you reinforce the use of knowledge and skills on the job?

Notes:

N1. Technological change (5.2a[3]) might include computer and Internet literacy.

N2. Education and training delivery (5.2a[4]) might occur inside or outside your organization and involve on-the-job, classroom, computer-based, distance learning, and/or other types of delivery (formal or informal).

For additional description of this Item, see pages 47–48.

5.3 Faculty and Staff Well-Being and Satisfaction (25 pts.) Approach-Deployment

Describe how your organization maintains a work environment and faculty and staff support climate that contribute to the well-being, satisfaction, and motivation of all faculty and staff.

Within your response, include answers to the following questions:

a. Work Environment
How do you improve workplace health, safety, and ergonomics? How do faculty and staff take part in improving them? Include performance measures and/or targets for each key environmental factor. Also include significant differences, if any, based on varying work environments for faculty and staff groups and/or work units.

b. Faculty and Staff Support and Satisfaction
(1) How do you determine the key factors that affect faculty and staff well-being, satisfaction, and motivation? How are these factors segmented for a diverse workforce and for varying categories and types of faculty and staff, as appropriate?

(2) How do you support your faculty and staff via services, benefits, and policies? How are these tailored to the needs of a diverse workforce and varying categories and types of faculty and staff, as appropriate?

(3) What formal and/or informal evaluation methods and measures do you use to determine faculty and staff well-being, satisfaction, and motivation? How do you tailor these methods and measures to a diverse workforce and to different categories and types of faculty and staff, as appropriate? How do you use other indicators, such as faculty and staff retention, absenteeism, grievances, safety, and productivity, to assess and improve faculty and staff well-being, satisfaction, and motivation?

(4) How do you relate evaluation findings to key organizational performance results to identify priorities for improving the work environment and faculty and staff support climate?

Notes:

N1. Specific factors that might affect your faculty and staff well-being, satisfaction, and motivation (5.3b[1]) include effective faculty and staff problem or grievance resolution; safety factors; faculty and staff views of administrators, faculty leadership, and/or supervisors; faculty and staff training, development, and career opportunities; faculty and staff preparation for changes in technology or the work organization; the work environment and other work conditions; empowerment of faculty and staff by administrators, faculty leadership, and/or supervisors; information sharing by administrators, faculty leadership, and/or supervisors; workload; cooperation and teamwork; recognition; services and benefits; communications; job security; compensation; and equal opportunity.

N2. Approaches for faculty and staff support (5.3b[2]) might include providing counseling, career development and employability services, recreational or cultural activities, nonwork-related education, day care, job rotation or sharing, special leave for family responsibilities or for community service, home safety training, flexible work hours and location, outplacement, and retirement benefits (including extended health care).

N3. Measures/indicators of well-being, satisfaction, and motivation (5.3b[3]) might include data on safety and absenteeism; the overall faculty and staff turnover rate segmented by employee type, faculty and staff; charitable contributions; grievances, strikes, other job actions; insurance costs; worker's compensation claims; and results of surveys. Survey indicators of satisfaction might include faculty and staff knowledge of job roles, faculty and staff knowledge of organizational direction, and faculty and staff perception of empowerment and information sharing. Your results relative to such measures/indicators should be reported in Item 7.4.

N4. Setting priorities (5.3b[4]) might draw upon your faculty and staff results presented in Item 7.4 and might involve addressing faculty and staff problems based on their impact on your organizational performance.

For a definition of the following **key term**, see page 37: productivity.

For additional description of this Item, see pages 48–49.

6 Process Management (85 pts.)

The ***Process Management*** Category examines the key aspects of your organization's process management, including learning-focused education design and delivery, key student services, and support processes. This Category encompasses all key processes and all work units.

6.1 Education Design and Delivery Processes (50 pts.)

Approach-Deployment

Describe how your organization manages key processes for design and delivery of your educational programs and offerings.

Within your response, include answers to the following questions:

a. Education Design Processes

(1) What are your design processes for educational programs and offerings and their related delivery systems and processes?

(2) How do you ensure that all programs and offerings address student educational, developmental, and well-being needs; meet high standards; and focus on active learning?

(3) How do you anticipate and prepare for individual differences in student learning rates and styles?

(4) How is information on student segments and/or individual students developed and used for purposes of engaging all students in active learning? How do you incorporate changing student, stakeholder, and market requirements into the design of educational programs and offerings and their related delivery systems and processes?

(5) How do you incorporate new technology, including e-technology, into educational programs and offerings and their related delivery systems and processes, as appropriate?

(6) How do your design processes address sequencing, linkages among educational offerings, transfer of learning from past design projects and other parts of the organization, new design technology, cycle time, and other efficiency/effectiveness factors?

(7) How do you incorporate a measurement plan that makes effective use of formative and summative assessment?

(8) How do you ensure that faculty and staff are properly prepared to implement your educational programs and offerings?

b. Education Delivery Processes

(1) What are your key educational programs, offerings, and delivery processes and their key performance requirements?

(2) How do you ensure that ongoing educational programs and offerings meet key design and delivery requirements?

(3) What key observations and measures/indicators are used to monitor and improve the delivery of your key educational programs and offerings? Include how key formative and summative assessments of students; in-process measures of programs and offerings; and real-time student, faculty, staff, and stakeholder input are used in managing your educational programs and offerings to help students and faculty achieve learning objectives, as appropriate.

(4) How do you evaluate programs and offerings to minimize redesign efforts and their costs?

(5) How do you improve your educational programs and offerings to achieve better student learning and improvements to services, as appropriate? Include use of research on learning, assessment, and instructional methods and new learning technology, as appropriate. How are improvements shared with other organizational units and programs, students, faculty, staff, and stakeholders, as appropriate?

Notes:

N1. "Education" should be interpreted broadly. Educational programs and offerings may include courses, research, outreach, cooperative projects, and overseas studies.

N2. Responses to Item 6.1 should include how your stakeholders and key partners are involved in your design processes, as appropriate.

N3. Education design and delivery might take into account computer-assisted, distance, and Web-based learning and making offerings available at different locations and times to meet student needs.

N4. Sequencing and linkages among educational offerings (6.1a[6]) include not only relationships within a single discipline but also relationships among related disciplines. Linkages also may address your organization's mission-specific activities such as basic and applied research and outreach.

N5. A measurement plan (6.1a[7]) should be holistic and define what is to be assessed and measured, how and when assessments and measurements are to be made, and how the results will be used.

N6. Proper preparation of your faculty (6.1a[8]) might address subject matter expertise and an understanding of the cognitive, social-emotional, and ethical development of students. It also might address training/experience in teaching strategies, facilitation skills, and learning assessment, as well as how to recognize and use learning research theory and how to report information and data on student progress. Preparation of faculty is linked to Item 5.2, which asks for information on how your training is tied to your organizational objectives.

N7. "Education delivery" refers to instructional approaches—modes of teaching and organizing activities and experiences so that learning takes place.

N8. For educational programs and offerings, measurements and observations (6.1b[3]) should include key learning and developmental dimensions, e.g., factors that enable early intervention when learning is not progressing adequately. Observations and measures/indicators also should reveal whether the programs or offerings require corrective action. The focus of 6.1b(5) is ongoing improvement to achieve better performance. Periodically, programs and offerings might need to be changed or redesigned.

N9. The results of improvements in the design and delivery processes for your educational programs and offerings should be reported in Item 7.5. Results of improvements in student performance should be reported in Item 7.1.

For definitions of the following **key terms**, see pages 33, 34 and 38: active learning, cycle time, formative assessment, and summative assessment.

For additional description of this Item, see pages 49–51.

6.2 Student Services (20 pts.)

Approach-Deployment

Describe how your organization manages its key student services.

Within your response, include answers to the following questions:

a. Student Services
   (1) What are your key student services?
   (2) How do you determine key student service requirements, incorporating input from students, faculty, staff, other stakeholders, and suppliers/partners, as appropriate? What are the key requirements for these services?
   (3) How do you design and deliver these services to meet all the key requirements?
   (4) What are your key performance measures/indicators used for the control and improvement of these services? Include how in-process measures and feedback from students, faculty, staff members, stakeholders, and suppliers are used in managing your student services, as appropriate.
   (5) How do you improve your student services to keep them current with educational service needs and directions, to achieve better performance, and to control overall costs? How are improvements shared with other organizational units and processes, as appropriate?

Notes:

N1. Your key student services are those considered most important to student matriculation and success. These might include services related to counseling, advising, and tutoring students; libraries and information technology; and student recruitment, enrollment, registration, placement, financial aid, and housing. They also might include food services, security, health services, transportation, and bookstores. The key services to be included in Item 6.2 are distinctive to your organization and how you operate.

N2. Key student service requirements may include timeliness, confidentiality, accuracy, due process, and safety.

N3. To provide as complete and concise a response as possible for your key student services, you might want to use a tabular format identifying the key services and the attributes of each as called for in questions 6.2a(1)–6.2a(4).

N4. Key student service performance results should be reported in Item 7.5.

For additional description of this Item, see page 51.

6.3 Support Processes (15 pts.)

Approach-Deployment

Describe how your organization manages its key processes that support your daily operations as an education organization and your faculty and staff in delivering services.

Within your response, include answers to the following questions:

a. Support Processes
   (1) What are your key processes for supporting your daily operations and your faculty and staff in delivering educational programs and offerings and student services?
   (2) How do you determine key support process requirements, incorporating input from faculty and staff, as appropriate? What are the key operational requirements (such as productivity, timeliness, accuracy, and safety) for these processes?
   (3) How do you design these processes to meet all the key requirements?
   (4) How does your day-to-day operation of key support processes ensure meeting key performance requirements?
   (5) What are your key performance measures/indicators used for the control and improvement of these processes? Include how in-process measures and faculty and staff feedback are used in managing your support processes, as appropriate.
   (6) How do you minimize overall costs associated with inspections, tests, and process/performance audits of support processes?
   (7) How do you improve your support processes to achieve better performance and to keep them current with organizational needs and directions? How are improvements shared with other organizational units and processes, as appropriate?

Notes:

N1. Your key support processes are those that are considered most important for support of your organization's design and delivery of educational programs and offerings and student services. These might include processes for finance and accounting; plant and facilities management; legal, human resource, and marketing services; information services; public relations; central receiving; purchasing; management of supplier and/or partner processes; and secretarial and other administrative services.

N2. Key support process performance results should be reported in Item 7.5.

For additional description of this Item, see pages 51–52.

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7 Organizational Performance Results (450 pts.)

The ***Organizational Performance Results*** Category examines student learning results; student- and stakeholder-focused results; budgetary, financial, and marketplace performance; faculty and staff results; and operational effectiveness. Also examined are performance levels relative to those of competitors, comparable schools, and/or appropriately selected organizations.

7.1 Student Learning Results (200 pts.)

Results

Summarize your organization's key student learning results. Segment your results by student groups and market segments, as appropriate. Include appropriate comparative data relative to competitors, comparable organizations, and student populations.

Provide data and information to answer the following question:

a. **Student Learning Results**
What are your current levels and trends in key measures/indicators of student learning and improvement in student learning? Segment data by student groups and market segments, as appropriate, and include results normalized to comparable student populations.

Notes:

N1. Results reported in Item 7.1 might be based upon a variety of assessment methods that reflect the organization's overall mission and primary improvement objectives and that together represent holistic appraisals of student learning. For some recently implemented measures and/or assessment methods, data might not yet be sufficient to demonstrate meaningful trends. Such data should be reported, because they provide useful information regarding the organization's current performance levels. Results may include data indicating performance of recent graduates.

N2. Demonstrations of improvement in student learning should be normalized to comparable student populations. Methods for demonstrating improvement in student learning might involve longitudinal studies and cohort studies. Results covering three years or more are preferred.

N3. Comparisons should include a brief description of how the appropriateness of each comparison is ensured. Comparable organizations might include those of similar types/sizes, both domestic and international, as well as organizations serving similar populations of students.

For definitions of the following **key terms**, see pages 35, 37 and 38: levels, results, and trends.

For additional description of this Item, see page 52.

7.2 Student- and Stakeholder-Focused Results (70 pts.)

Results

Summarize your organization's key student- and stakeholder-focused results, including student and stakeholder satisfaction. Segment your results by student and stakeholder groups and market segments, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

a. Student- and Stakeholder-Focused Results

(1) What are your current levels and trends in key measures/indicators of current and past student and key stakeholder satisfaction and dissatisfaction, including comparisons with competitors' and/or comparable organizations' levels of student and stakeholder satisfaction?

(2) What are your current levels and trends in key measures/indicators of student- and stakeholder-perceived value, persistence, positive referral, and/or other aspects of building relationships with students and stakeholders, as appropriate?

Notes:

N1. Student and stakeholder satisfaction and dissatisfaction results (7.2a[1]) should relate to determination methods and data described in Item 3.2. Results data might include feedback from students and stakeholders and their overall assessment of education and operations. Examples of student and stakeholder satisfaction and dissatisfaction indicators are given in the notes for Item 3.2.

N2. Current levels and trends in key measures/indicators of student satisfaction relative to competitors and/or comparable schools (7.2a[1]) might include gains and losses of your students from or to other schools or alternative means of education such as home schooling or corporate educational programs.

Results also might include objective information and/or data from independent organizations and/or key stakeholders. Such objective information might include survey results, competitive awards, recognition, and ratings. The information and/or data should reflect comparative satisfaction (and dissatisfaction). Information on comparative performance of your students should be included in Item 7.1.

N3. Comparisons should include a brief description of how the appropriateness of each comparison is ensured. Comparable organizations might include those of similar types/sizes, as well as organizations serving similar populations of students.

For additional description of this Item, see pages 52–53.

7.3 Budgetary, Financial, and Market Results (40 pts.) Results

Summarize your organization's key budgetary, financial, and market performance results by segments, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

a. Budgetary, Financial, and Market Results
   (1) What are your current levels and trends in key measures/indicators of budgetary and financial performance, including measures of cost containment, as appropriate?
   (2) What are your current levels and trends in key measures/indicators of market performance, including market share and new markets entered, as appropriate?

Notes:

N1. Responses to Item 7.3 might include measures such as instructional and general administration expenditures per student; income, expenses, reserves, and endowments; the tax rate; tuition and fee levels; cost per academic credit; annual grants/awards; program expenditures as a percentage of budget; annual budget increases or decreases; resources redirected to education from other areas; scholarship growth; the percentage of budget for research; and the budget for public service.

N2. New markets entered (7.3a[2]) might include offering Web-based services.

N3. Comparisons should include a brief description of how the appropriateness of each comparison is ensured.

For additional description of this Item, see page 53.

7.4 Faculty and Staff Results (70 pts.) Results

Summarize your organization's key faculty- and staff-related results, including faculty and staff well-being, satisfaction, and development and work system performance. Segment your results to address the diversity of your workforce and the different types and categories of faculty and staff, as appropriate. Include appropriate comparative data.

Provide data and information to answer the following questions:

a. Faculty- and Staff-Related Results
   (1) What are your current levels and trends in key measures/indicators of faculty and staff well-being, satisfaction and dissatisfaction, and development?
   (2) What are your current levels and trends in key measures/indicators of faculty and staff work system performance and effectiveness?

Notes:

N1. Results reported in this Item should relate to activities described in Category 5. Your results should be responsive to key process needs described in Category 6 and to your organization's action plans and human resource plans described in Item 2.2.

N2. For appropriate measures of faculty and staff well-being and satisfaction (7.4a[1]), see Notes to Item 5.3. Appropriate measures/indicators of faculty and staff development might include innovation and suggestion rates, courses or educational programs completed, learning, on-the-job performance improvements, collaboration/teamwork, and cross-training rates.

N3. Appropriate measures/indicators of work system performance and effectiveness (7.4a[2]) might include use of teams; knowledge and skill sharing across work functions, units, and locations; and flexibility. Additional indicators for staff performance might be simplification of the job and of the job classification, as well as job rotation.

N4. Comparisons should include a brief description of how the appropriateness of each comparison is ensured.

For additional description of this Item, see pages 53–54.

7.5 Organizational Effectiveness Results (70 pts.) **Results**

Summarize your organization's key performance results that contribute to opportunities for enhanced learning and/or the achievement of organizational effectiveness. Include appropriate comparative data.

Provide data and information to answer the following questions:

a. Organizational Effectiveness Results

(1) What are your current levels and trends in key measures/indicators of the performance of key education design and delivery processes, student services, and support processes that contribute to enhanced learning and/or operational effectiveness? Include school capacity to improve student performance, student development, the education climate, indicators of responsiveness to student or stakeholder needs, supplier/partner performance, and other appropriate measures of effectiveness and efficiency.

(2) What are your results for key measures/indicators of accomplishment of organizational strategy?

b. Public Responsibility and Citizenship Results

What are your results for key measures/indicators of safety; regulatory, legal, and/or accreditation compliance; and support of key communities?

Notes:

N1. Results reported in 7.5a should address your key organizational requirements and progress toward accomplishment of your key organizational performance goals as presented in the Organizational Profile and in Items 1.1, 2.2, 6.1, 6.2, and 6.3. Include results of mission-specific research and outreach processes, as appropriate. Include results not reported in Items 7.1, 7.2, 7.3, and 7.4.

N2. Safety and regulatory, legal, and/or accreditation compliance results reported in 7.5b should address requirements described in Item 1.2.

For additional description of this Item, see page 54.

N3. Results reported in Item 7.5 should provide key information for analysis (Item 4.1) and review (Item 1.1) of your organizational performance and should provide the operational basis for improved student learning results (Item 7.1); student- and stakeholder-focused results (Item 7.2); and budgetary, financial, and market results (Item 7.3).

N4. Comparisons should include a brief description of how the appropriateness of each comparison is ensured.

This Glossary of Key Terms defines and briefly describes terms used throughout the Education Criteria booklet that are important to performance management.

Action Plans

The term "action plans" refers to specific actions that respond to short- and longer-term strategic objectives. Action plans include details of resource commitments and time horizons for accomplishment. Action plan development represents the critical stage in planning when strategic objectives and goals are made specific so that effective organization-wide understanding and deployment are possible. In the Criteria, deployment of action plans includes creation of aligned measures for work units. Deployment might also require specialized training for some faculty and staff or recruitment of personnel.

An example of a strategic objective for an education organization might be to achieve student performance in the top quartile of the state's schools on a normalized test that is given annually. Action plans likely would entail determining which subjects have had the lowest scores, understanding skill deficiencies in those subjects, and developing curricula that enable students to master those skills. Performance requirements might include faculty training in instructional and assessment methods. Organizational-level analysis and review likely would emphasize student learning, budgetary performance, and student and stakeholder satisfaction.

See the definition of "strategic objectives" on pages 37–38 for the description of this related term.

Active Learning

The term "active learning" refers to interactive instructional techniques that engage students in such higher-order thinking tasks as analysis, synthesis, and evaluation. Students engaged in active learning might use resources beyond the faculty such as libraries, Web sites, interviews, or focus groups to obtain information. They may demonstrate their abilities to analyze, synthesize, and evaluate through projects, presentations, experiments, simulations, internships, practicums, independent study projects, peer teaching, role playing, or written documents. Students involved in active learning often organize their work, research information, discuss and explain ideas, observe demonstrations or phenomena, solve problems, and formulate questions of their own. Active learning is often combined with cooperative or collaborative learning in which students work interactively in teams that promote interdependence and individual accountability to accomplish a common goal. In addition, active learning may address multiple intelligences.

Alignment

The term "alignment" refers to consistency of plans, processes, information, resource decisions, actions, results, analysis, and learning to support key organization-wide goals. Effective alignment requires a common understanding of purposes and goals and use of complementary measures and information for planning, tracking, analysis, and improvement at three levels: the organizational level/senior leader level; the key process level; and the program, school, class, or individual level.

See the definition of "integration" on page 35 for the description of this related term.

Analysis

The term "analysis" refers to examination of facts and data to provide a basis for effective decisions. Analysis often involves the determination of cause-effect relationships. Overall organizational analysis guides process management toward achieving key organizational results and toward attaining strategic objectives.

Despite their importance, individual facts and data do not usually provide an effective basis for actions or setting priorities. Actions depend on an understanding of relationships derived from analysis of facts and data.

Anecdotal

The term "anecdotal" refers to process information that lacks specific methods, measures, deployment mechanisms, and evaluation/improvement/learning factors. Anecdotal information frequently uses examples and describes individual activities, rather than systematic processes.

An anecdotal response to how senior leaders deploy performance expectations might describe a specific occasion when a senior leader visited all of the organization's facilities. On the other hand, a systematic approach might describe the communication methods used by all senior leaders to deliver performance expectations on a regular basis, the measures used to assess effectiveness of the methods, and the tools and techniques used to evaluate and improve the communication methods.

Approach

The term "approach" refers to how an organization addresses the Baldrige Criteria Item requirements, i.e., the methods and processes used by the organization. Approaches are evaluated on the basis of the appropriateness of the methods/processes to the Item requirements, the effectiveness of their use, and their alignment with organizational needs. For further description, see the Scoring System on page 55.

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Basic Requirements

The term "basic requirements" refers to the most central theme of an Item. Basic requirements are the fundamental or essential requirements of that Item.

In the Criteria, the basic requirements of each Item are presented as an introductory sentence(s) printed in bold. This presentation is illustrated in the Item format shown on page 58.

Benchmarks

The term "benchmarks" refers to processes and results that represent best practices and performance for similar activities, inside or outside the education community. Organizations engage in benchmarking activities to understand the current dimensions of world-class performance and to achieve discontinuous (nonincremental) or breakthrough improvement.

Benchmarks are one form of comparative data. Other comparative data organizations might use include data collected by a third party (frequently averages for other organizations), data on performance of comparable education organizations and competitors, and comparisons with similar organizations in the same geographic area.

Cycle Time

The term "cycle time" refers to the time required to fulfill commitments or to complete tasks. Time measurements play a major role in the Criteria because of the great importance of responsiveness and of time performance to improving competitiveness. "Cycle time" refers to all aspects of time performance. Cycle time improvement might include time to respond to changing student and stakeholder needs, design time for new programs and processes, and other key measures of time.

Deployment

The term "deployment" refers to the extent to which an organization's approach is applied to the requirements of a Baldrige Criteria Item. Deployment is evaluated on the basis of the breadth and depth of application of the approach to relevant processes and work units throughout the organization. For further description, see the Scoring System on page 55.

Education Delivery

The term "education delivery" refers to the deployment of instructional approaches—modes of teaching and organizing activities and experiences so that effective learning takes place. Education delivery may include active learning, cooperative or collaborative learning, distance education, distributed learning, on-line tutorials, guided discussion lists, video streaming, teleconferencing, and/or self-paced learning. See also the definition of "active learning," on page 33.

Effective

The term "effective" refers to how well an approach, a process, or a measure addresses its intended purpose. Determining effectiveness requires the evaluation of how well a need is met by the approach taken, its deployment, or the measure used.

Empowerment

The term "empowerment" refers to giving faculty and staff the authority and responsibility to make decisions and take actions. Empowerment results in decisions being made closest to students and stakeholders, where work-related knowledge and understanding reside.

Empowerment is aimed at enabling faculty and staff to respond to student educational needs, to improve processes, and to better the organization's performance results. Empowered faculty and staff require information to make appropriate decisions; thus, an organizational requirement is to provide that information in a timely and useful way.

Formative Assessment

The term "formative assessment" refers to frequent or ongoing evaluation during courses, programs, or learning experiences that gives an early indication of what students are learning, as well as their strengths and weaknesses. Formative assessment is often used as a diagnostic tool for students and faculty, providing information with which to make real-time improvements in instructional methods, materials, activities, techniques, and approaches. Approaches to formative assessment might include daily, weekly, or midterm projects; portfolios; journals; observations of the learning process and learning outcomes; discussion groups; performances; self-assessments; or examinations that occur during courses, when students and faculty can benefit from the information and improve.

Goals

The term "goals" refers to a future condition or performance level that one intends to attain. Goals can be both short and longer term. Goals are ends that guide actions. Quantitative goals, frequently referred to as "targets," include a numerical point or range. Targets might be projections based on comparative and/or competitive data. The term "stretch goals" refers to desired major, discontinuous (nonincremental) or breakthrough improvements, usually in areas most critical to your organization's future success.

Goals can serve many purposes, including

- clarifying strategic objectives and action plans to indicate how success will be measured

- fostering teamwork by focusing on a common end
- encouraging "out-of-the-box" thinking to achieve a stretch goal
- providing a basis for measuring and accelerating progress

High-Performance Work

The term "high-performance work" refers to work approaches used to systematically pursue ever higher levels of overall organizational and individual performance, including quality, productivity, innovation rate, and cycle time performance. High-performance work results in improved programs and services for students and stakeholders.

Approaches to high-performance work vary in form, function, and incentive systems. Effective approaches frequently include cooperation among leaders, administrators, faculty, and staff, which may involve workforce bargaining units; cooperation among work units, often involving teams; self-directed responsibility/faculty and staff empowerment; faculty and staff input to planning; individual and organizational skill building and learning; learning from other organizations; flexibility in job design and work assignments; a flattened organizational structure, where decision making is decentralized and decisions are made closest to the students and stakeholders; and effective use of performance measures, including comparisons. Many high-performance work systems use monetary and nonmonetary incentives based upon factors such as organizational performance, team and/or individual contributions, and skill building. Also, high-performance work approaches usually seek to align the organization's structure, work, jobs, faculty and staff development, and incentives.

How

The term "how" refers to the processes that an organization uses to accomplish its mission requirements. In responding to "how" questions in the Approach-Deployment Item requirements, process descriptions should include information such as methods, measures, deployment, and evaluation/improvement/learning factors.

Innovation

The term "innovation" refers to making meaningful change to improve programs, services, and/or processes and create new value for students and stakeholders. Innovation involves the adoption of an idea, process, technology, or product that is either new or new to its proposed application.

Successful organizational innovation is a multistep process that involves development and knowledge sharing, a decision to implement, implementation, evaluation, and learning. Although innovation is often associated with technological innovation, it is applicable to all key organizational processes that would benefit from change, whether through breakthrough improvement or change in approach.

Integration

The term "integration" refers to the harmonization of plans, processes, information, resource decisions, actions, results, analysis, and learning to support key organization-wide goals. Effective integration is achieved when the individual components of a performance management system operate as a fully interconnected unit.

See the definition of "alignment" on page 33 for the description of this related term.

Leadership System

The term "leadership system" refers to how leadership is exercised, formally and informally, throughout the organization—the basis for and the way that key decisions are made, communicated, and carried out. It includes structures and mechanisms for decision making; selection and development of senior leaders, administrators, department heads, and/or faculty leaders; and reinforcement of values, directions, and performance expectations.

An effective leadership system respects the capabilities and requirements of faculty and staff and other stakeholders, and it sets high expectations for performance and performance improvement. It builds loyalties and teamwork based upon the organization's values and the pursuit of shared goals. It encourages and supports initiative and appropriate risk taking, subordinates organization to purpose and function, and avoids chains of command that require long decision paths. An effective leadership system includes mechanisms for the leaders to conduct a self-examination, receive feedback, and improve.

Levels

The term "levels" refers to numerical information that places or positions an organization's results and performance on a meaningful measurement scale. Performance levels permit evaluation relative to past performance, projections, goals, and appropriate comparisons.

Measures and Indicators

The term "measures and indicators" refers to numerical information that quantifies input, output, and performance dimensions of programs, processes, services, and the overall organization (outcomes). Measures and indicators might be simple (derived from one measurement) or composite.

The Criteria do not make a distinction between measures and indicators. However, some users of these terms prefer the term "indicator" (1) when the measurement relates to performance but is not a direct measure of such performance (e.g., the number of complaints is an indicator of

dissatisfaction but not a direct measure of it) and (2) when the measurement is a predictor ("leading indicator") of some more significant performance (e.g., a gain in student performance or satisfaction might be a leading indicator of student persistence).

Mission

The term "mission" refers to the overall function of an organization. The mission answers the question, "What is this organization attempting to accomplish?" The mission might define students, stakeholders, or markets served; distinctive competencies; or technologies used.

Multiple Requirements

The term "multiple requirements" refers to the individual questions Criteria users need to answer within each Area to Address. These questions constitute the details of an Item's requirements. They are presented in black text under each Item's Area(s) to Address. This presentation is illustrated in the Item format shown on page 58. See the definition of "overall requirements" for more information on Areas to Address.

Overall Requirements

The term "overall requirements" refers to the specific Areas Criteria users need to address when responding to the central theme of an Item. Overall requirements address the most significant features of the Item requirements.

In the Criteria, the overall requirements of each Item are introduced in red text and assigned a letter designation for each Area to Address. This presentation is illustrated in the Item format shown on page 58.

Partnerships

The term "partnerships" refers to cooperative relationships with other schools, places of work, social service organizations, private foundations, and parents, as appropriate, for purposes of ensuring effective transitions for students. Partners might include schools with which "feeder" relationships exist, into or out of your school. Partnerships with social service organizations might involve helping students make effective transitions. Private foundations might support targeted or comprehensive reform efforts through a partnership with the school.

Performance

The term "performance" refers to output results obtained from processes and services that permit evaluation and comparison relative to goals, standards, past results, and other organizations. Performance might be expressed in nonfinancial and financial terms.

The Baldrige Criteria address three types of performance: (1) student- and stakeholder-related; (2) budgetary, financial, and market; and (3) operational.

"Student- and stakeholder-related performance" refers to performance relative to measures and indicators of student and stakeholder perceptions, reactions, and behaviors. Examples include student learning, retention, complaints, and survey results. Student- and stakeholder-related performance generally relates to the organization as a whole.

"Budgetary, financial, and market performance" refers to performance relative to measures of cost containment, budget utilization, and market share. Examples include instructional and general administration expenditures per student; income, expenses, reserves, endowments, and annual grants/awards; program expenditures as a percentage of budget; annual budget increases or decreases; resources redirected to education from other areas; scholarship growth; the percentage of budget for research; and the budget for public service.

"Operational performance" refers to organizational and faculty/staff performance relative to effectiveness and efficiency measures and indicators. Examples include cycle time, productivity, accreditation, and regulatory compliance. Operational performance might be measured at the organizational/senior leader level; the key process level; and the program, school, class, or individual level.

Performance Excellence

The term "performance excellence" refers to an integrated approach to organizational performance management that results in: (1) delivery of ever-improving value to students and stakeholders, contributing to improved education quality; (2) improvement of overall organizational effectiveness and capabilities; and (3) organizational and personal learning. The Baldrige Education Criteria for Performance Excellence provide a framework and an assessment tool for understanding organizational strengths and opportunities for improvement and thus for guiding planning efforts.

Performance Projections

The term "performance projections" refers to estimates of future performance or goals for future results. Projections may be inferred from past performance, may be based on performance of comparable or competitive organizations, or may be predicted based on changes in a dynamic education market. Projections integrate estimates of your organization's rate of improvement and change, and they may be used to indicate where breakthrough improvement or change is needed. Thus, performance projections serve as a key planning management tool.

Process

The term "process" refers to linked activities with the purpose of producing a program or service for students and/or stakeholders within or outside the organization. Generally, processes involve combinations of people, machines, tools, techniques, and materials in a systematic series of steps or actions. In some situations, processes might require adherence to a specific sequence of steps, with documentation (sometimes formal) of procedures and requirements, including well-defined measurement and control steps.

In service situations such as education, particularly when those served are directly involved in the service, process is used in a more general way, i.e., to spell out what must be done, possibly including a preferred or expected sequence. If a sequence is critical, the service needs to include information to help those served understand and follow the sequence. Such service processes also require guidance to the providers of those services on handling contingencies related to possible actions or behaviors of those served.

In knowledge work such as teaching, strategic planning, research, development, and analysis, process does not necessarily imply formal sequences of steps. Rather, process implies general understandings regarding competent performance such as timing, options to be included, evaluation, and reporting. Sequences might arise as part of these understandings.

Productivity

The term "productivity" refers to measures of the efficiency of resource use.

Although the term often is applied to single factors such as staffing, machines, materials, and capital, the productivity concept applies as well to the total resources used in meeting the organization's objectives. The use of an aggregate measure of overall productivity allows a determination of whether the net effect of overall changes in a process—possibly involving resource tradeoffs—is beneficial.

Purpose

The term "purpose" refers to the fundamental reason that an organization exists. The primary role of purpose is to inspire an organization and guide its setting of values. Purpose is generally broad and enduring. Two organizations providing different educational services could have similar purposes, and two organizations providing similar educational services could have different purposes.

Results

The term "results" refers to outcomes achieved by an organization in addressing the purposes of a Baldrige Criteria Item. Results are evaluated on the basis of current performance; performance relative to appropriate comparisons; the rate, breadth, and importance of performance improvements, and the relationship of results measures to key organizational performance requirements. For further description, see the Scoring System on page 55.

Senior Leaders

The term "senior leaders" refers to those with the main responsibility for managing the overall organization. Senior leaders might include administrators, department heads, and/or faculty leaders. In many organizations, senior leaders include the head of the organization and his or her direct reports.

Stakeholders

The term "stakeholders" refers to all groups that are or might be affected by an organization's actions and success. Examples of key stakeholders might include parents, parent organizations, faculty, staff, boards, alumni, employers, other schools, funding entities, and local/professional communities. Although students are commonly thought of as stakeholders, for purposes of emphasis and clarity, the Criteria refer to students and stakeholders separately.

Strategic Challenges

The term "strategic challenges" refers to those pressures that exert a decisive influence on an organization's likelihood of future success. These challenges frequently are driven by an organization's future competitive position relative to other providers of similar products or services. While not exclusively so, strategic challenges generally are externally driven. However, in responding to externally driven strategic challenges, an organization may face internal strategic challenges.

External strategic challenges may relate to student, stakeholder, or market needs/expectations; changes in educational programs or offerings; technological changes; or budgetary, financial, societal, and other risks. Internally, an organization's capabilities and its faculty, staff, and other resources may create or present strategic challenges.

See the definition of "strategic objectives" below for the relationship between strategic challenges and the strategic objectives an organization articulates to address key challenges.

Strategic Objectives

The term "strategic objectives" refers to an organization's articulated aims or responses to address major change/improvement and/or competitiveness issues. Strategic objectives generally are focused externally and relate to significant student/stakeholder, market, service, or technological opportunities and challenges. Broadly stated, they are what an organization must achieve to remain or become competitive. Strategic objectives set an organization's longer-term directions and guide resource allocations and redistributions.

See the definition of "action plans" on page 33 for the relationship between strategic objectives and action plans and for an example of each.

Student Segments

The term "student segments" refers to groups of students with similar needs. The basis for the groupings might reflect their career interests, learning styles, service delivery (classroom and/or Web-based), living status (residential versus commuter), mobility, special needs, or other factors.

Summative Assessment

The term "summative assessment" refers to longitudinal analysis of the learning and performance of students and alumni. Summative assessments tend to be formal and comprehensive, and they often cover global subject matter. Such assessments may be conducted at the conclusion of a course or program and could be compared to the results of pretesting to determine gains and to clarify the causal connections between educational practices and student learning. They may be used for purposes of determining final grades, placement, and promotion, as well as for licensure or certification.

Systematic

The term "systematic" refers to approaches that are repeatable and use data and information so that improvement and learning are possible. In other words, approaches are systematic if they build in the opportunity for evaluation and learning and thereby permit a gain in maturity. For use of the term, see the Scoring Guidelines on page 56.

Trends

The term "trends" refers to numerical information that shows the direction and rate of change for an organization's results. Trends provide a time sequence of organizational performance.

A minimum of three data points generally is needed to begin to ascertain a trend. The time period for a trend is determined by the cycle time of the process being measured. Shorter cycle times demand more frequent measurement, while longer cycle times might require longer periods before a meaningful trend can be determined.

Examples of trends called for by the Criteria include student learning results; student, stakeholder, faculty, and staff satisfaction and dissatisfaction results; education design and delivery and student service performance; budgetary, financial, and market performance; and operational performance, such as cycle time, support process, supplier/partner, and safety performance.

Value

The term "value" refers to the perceived worth of a program, service, process, asset, or function relative to cost and relative to possible alternatives.

Organizations frequently use value considerations to determine the benefits of various options relative to their costs, such as the value of various educational offerings and service combinations to students or stakeholders. Organizations need to understand what different student and stakeholder groups value and then deliver value to each group. This frequently requires balancing value for students and stakeholders, such as businesses, faculty, staff, and the community.

Values

The term "values" refers to the guiding principles and/or behaviors that embody how the organization and its people are expected to operate. Values reflect and reinforce the desired culture of an organization. Values support and guide the decision making of all faculty and staff, helping the organization to accomplish its mission and attain its vision in an appropriate manner.

Vision

The term "vision" refers to the desired future state of an organization. The vision describes where an organization is headed, what it intends to be, or how it wishes to be perceived.

Work Systems

The term "work systems" refers to how your faculty and staff are organized into formal or informal units; how job responsibilities are managed; and your processes for compensation, faculty and staff performance management, recognition, communication, hiring, and succession planning. Organizations design work systems to align their components to enable and encourage all faculty and staff to contribute effectively and to the best of their ability.

Leadership (Category 1)

Leadership addresses how your senior leaders guide your organization in setting organizational values, directions, and performance expectations. Attention is given to how your senior leaders communicate with faculty and staff, review organizational performance, and create a learning environment that encourages high performance. The Category also includes your organization's responsibilities to the public and how your organization practices good citizenship.

1.1 Organizational Leadership

Purpose

This Item examines the key aspects of your organization's leadership and the actions of your senior leaders to create and sustain a high-performance organization and an environment conducive to learning, student development, and achievement.

Requirements

You are asked how your senior leaders set and deploy organizational values, short- and longer-term directions, and performance expectations and address the needs of all students and stakeholders. This includes how leaders create an environment for empowerment, innovation, organizational agility, safety, equity, and organizational and faculty and staff learning.

You also are asked how your senior leaders review organizational performance, what key performance measures they regularly review, and how review findings are used to drive improvement and innovation, including improvement in your leaders' effectiveness.

Comments

- Leadership's central roles in setting values and directions, creating and balancing value for all students and stakeholders, and driving performance are the focus of this Item. Success requires a strong orientation to the future and a commitment to both improvement and innovation. Increasingly, this requires creating an environment for empowerment and agility, as well as the means for rapid and effective application of knowledge that takes into account key developmental needs of students, including self-motivation, study habits, the ability to function in groups, citizenship, and character development.
- The review role of leadership is crucial—not only because reviews help provide a focus on student learning but also because reviews are an effective means for early detection of problems and timely redirection of resources, which usually require leadership support and involvement. A major aim is to create organizations that are flexible and responsive, i.e., that change easily to adapt to new needs and opportunities for innovation. Through their roles in developing strategy and reviewing overall performance, senior leaders develop leadership and create an organization capable of adapting to changing opportunities and requirements. An important part of the senior leaders' organizational review is the translation of review findings into an action agenda—one sufficiently specific to facilitate deployment throughout the organization and to students, key stakeholders, and partners. The action agenda could include opportunities for innovation.

1.2 Public Responsibility and Citizenship

Purpose

This Item examines how your organization fulfills its public responsibilities and encourages, supports, and practices good citizenship, working effectively with key communities to extend your organization's learning opportunities.

Requirements

You are asked how your organization addresses its current and future impacts on society in a proactive manner and how you accomplish ethical practices in all student and stakeholder interactions. The impacts and practices are expected to cover all relevant and important requirements—safety, regulatory, legal, ethical, and accreditation.

You also are asked how your organization, your senior leaders, your faculty and staff, and students identify, support, and strengthen your key communities as part of good citizenship practices.

Comments

- An integral part of performance management and improvement is proactively addressing legal, regulatory, and accreditation requirements and risk factors. Addressing these areas requires establishing appropriate measures/indicators that senior leaders track in their overall performance review. Your organization should be sensitive to issues of public concern, whether or not these issues are currently embodied in law.
- Citizenship implies going beyond a compliance orientation. Good citizenship opportunities are available to organizations of all sizes. These opportunities include encouraging and supporting your faculty and staff to participate in community service.
- Public responsibility may address a variety of issues and/or concerns, such as taxpayer costs, safety in the school, storage of hazardous materials, and recycling of materials, as appropriate.
- Examples of organizational community involvement include efforts by the organization, senior leaders, and faculty/staff to strengthen community services, the

environment, athletic associations, and professional associations. Community involvement might also involve students, giving them the opportunity to develop social and citizenship values and skills.

Strategic Planning (Category 2)

Strategic Planning addresses strategic and action planning and deployment of plans. The Category stresses that learning-centered education and operational performance are key strategic issues that need to be integral parts of your organization's overall planning.

Specifically,

- learning-centered education is a strategic view of education. The focus is on the drivers of student learning, student persistence, student and stakeholder satisfaction, new markets, and market share—key factors in educational success. Learning-centered education focuses on the real needs of students, including those derived from market requirements and citizenship responsibilities.
- operational performance improvement contributes to short-term and longer-term productivity growth and cost containment. Building operational capability—including speed, responsiveness, and flexibility—represents an investment in strengthening your organizational fitness.

The Criteria emphasize that improvement and learning need to be embedded in work processes. The special role of strategic planning is to align work processes with your organization's strategic directions, thereby ensuring that improvement and learning reinforce organizational priorities.

The Strategic Planning Category examines how your organization

- understands the key student, stakeholder, market, and societal requirements as input to setting strategic directions. This helps to ensure that ongoing process improvements and change are aligned with your organization's strategic directions.
- optimizes the use of resources, ensures the availability of well-prepared faculty and staff, and ensures bridging short-term and longer-term requirements that may entail capital expenditures, technology development or acquisition, or development of partnerships with feeder schools.
- ensures that deployment will be effective—that there are mechanisms to communicate requirements and achieve overall alignment on three basic levels: (1) the organization/senior leader level; (2) the key process level; and (3) the program, school, class, or individual level.

The requirements in the Strategic Planning Category encourage strategic thinking and acting—to develop a basis for a distinct leadership position. *These requirements do not imply formalized plans, planning systems, departments, or specific planning cycles.* They also do not imply that all your improvements could or should be planned in advance. An effective improvement system combines improvements of many types and degrees of involvement. This requires clear strategic guidance, particularly when improvement alternatives, including major change, compete for limited resources. The requirements in the Category emphasize a future-oriented basis for decisions and priorities.

2.1 Strategy Development

Purpose

This Item examines how your organization sets strategic directions and develops your strategic objectives, guiding and developing key educational and other associated performance requirements.

Requirements

You are asked to outline your organization's strategic planning process, including identifying key participants, key steps, and your planning time horizons. You are asked how you consider key factors that affect your organization's future. These factors cover external and internal influences on your organization. You are asked to address each factor and outline how relevant data and information are gathered and analyzed.

You also are asked to summarize your key strategic objectives and your timetable for accomplishing them. Finally, you are asked how these objectives address the challenges outlined in your Organizational Profile.

Comments

- This Item calls for basic information on the planning process and for information on all the key influences, risks, challenges, and other requirements that might affect your organization's future opportunities and

directions—taking as long-term a view as possible. This approach is intended to provide a thorough and realistic context for the development of a student-, stakeholder-, and market-focused strategy to guide ongoing decision making, resource allocation, and overall management.

- This Item is intended to cover all types of education organizations, market situations, strategic issues, planning approaches, and plans. The requirements explicitly call for a future-oriented basis for action but do not imply formalized planning, planning departments, planning cycles, or a specified way of visualizing the future. Even if your organization is seeking to create an entirely new program, structure, or situation, it is still necessary to set and to test the objectives that define and guide critical actions and performance.
- This Item emphasizes how the organization develops a leadership position in its educational offerings.
- An increasingly important part of strategic planning is projecting the future environment. Organizations might use a variety of modeling, scenarios, or other techniques and judgments to anticipate the environment. Planning requires a thorough and realistic context for the development of educational services and overall management of the organization. This includes student and stakeholder needs and expectations and external factors affecting the organization, such as changing requirements brought about by other organizations, employers, education mandates, instructional technology, changing demographics, and changing student career interests. Internal factors, such as faculty and staff capabilities and needs, also should be considered. Especially important is the need to assess student learning relative to key outcomes the organization seeks to achieve.

2.2 Strategy Deployment

Purpose

This Item examines how your organization converts your strategic objectives into action plans to accomplish the objectives and how your organization assesses progress relative to these action plans. The aim is to ensure that your strategies are deployed for your key education objectives.

Requirements

You are asked how you develop and deploy action plans that address your organization's key strategic objectives, including the allocation of needed resources. You are asked to summarize your key short- and longer-term action plans. Particular attention is given to changes in services/programs; students, stakeholders, and markets; and how you operate. You also are asked about your key human resource plans that will enable accomplishment of your strategic objectives and action plans.

You are asked to give your key measures/indicators used in tracking progress relative to the action plans and how you use these measures to achieve organizational alignment and coverage of all key work units, students, and stakeholders. Finally, you are asked to provide a projection of key performance measures/indicators. As part of this projection, you are asked how your projected performance compares with the performance of competitors, comparable organizations, and appropriately selected organizations; key benchmarks; goals; and past performance.

Comments

- This Item asks how your action plans are developed and deployed. Accomplishment of action plans requires specifying key performance requirements, measures, and indicators for such areas as faculty/staff development plans and needs and use of learning technologies. Also include how resources are deployed, aligned, and tracked. Of central importance is how you achieve alignment and consistency—for example, via key learning strategies and key measurements. Also, alignment and consistency are intended to provide a basis for setting and communicating priorities for ongoing improvement activities—part of the daily work of all work units. In addition, performance measures are critical to performance tracking. Action plans include human resource plans that support your overall strategy.
- Key changes in your services/programs might include Web-based or distance learning initiatives, integrated within or separate from your current educational offerings and programs. Key changes in your anticipated or planned student and stakeholder markets might include different admission requirements, attendance area changes, or new populations served.
- Examples of possible human resource plan elements are
  - education and training initiatives, including those that increase skills for assessment practices and increase knowledge of student learning styles, as well as developmental assignments to prepare future leaders
  - initiatives to promote greater labor-management cooperation, such as union partnerships
  - creation/redesign of individual development and/or learning plans
  - redesign of staff work organizations and/or jobs to increase staff responsibility and decision making
  - initiatives to foster knowledge sharing and cross-functional interactions throughout the organization
  - creation of opportunities for faculty and staff to learn and use skills that go beyond current job assignments through redesign of processes or organizations
  - formation of partnerships with the business community to support faculty/staff development

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- introduction of distance learning or other technology-based learning approaches
- introduction of performance improvement initiatives

- Projections and comparisons in this Item are intended to encourage your organization to improve its ability to understand and track dynamic and competitive performance factors. Through this tracking process, your organization should be better prepared to take into account its rate of improvement and change relative to that of competitors and comparable organizations and relative to your own targets or stretch goals. Such tracking serves as a key diagnostic tool.
- In addition to improvement relative to past performance and the performance of competitors and comparable organizations, projected performance might include changes resulting from innovations in education delivery, addition or termination of programs, Web-based or distance learning initiatives, service/program innovations, or other strategic thrusts.

Student, Stakeholder, and Market Focus (Category 3)

Student, Stakeholder, and Market Focus addresses how your organization seeks to understand the needs of current and future students and stakeholders and to understand your markets. The Category stresses relationships as an important part of an overall listening, learning, and performance excellence strategy. Although many of the needs of stakeholders must be translated into educational services for students, the stakeholders themselves have needs that organizations also must accommodate. A key challenge frequently may be to balance differing needs and expectations of students and stakeholders and among stakeholders themselves. Your student and stakeholder satisfaction and dissatisfaction results provide vital information for understanding your students, stakeholders, and markets. In many cases, such results and trends provide the most meaningful information, not only on your students' and stakeholders' views but also on their actions and behaviors—student persistence and positive referrals.

3.1 Knowledge of Student, Stakeholder, and Market Needs and Expectations

Purpose

This Item examines your organization's key processes for gaining knowledge about your current and future student segments and markets, with the aim of offering relevant and effective programs and services, engaging students in active learning, understanding emerging student needs and expectations, and keeping pace with market changes and changing methods of delivering educational services.

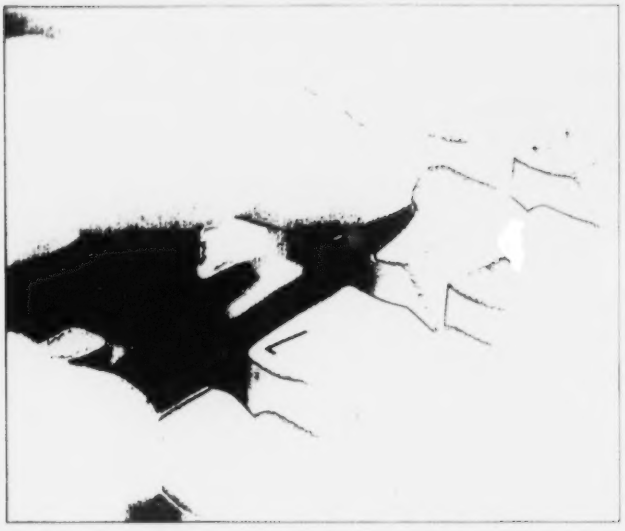
Requirements

You are asked how you determine key general and special needs of current students—recognizing factors that bear upon active learning—and how you segment your students and markets. You are asked how you determine and anticipate changing needs and expectations of future students—taking into account the key factors that could affect these needs and expectations—to support longer-term education planning. You also are asked how these determinations include relevant information from current and former students.

Finally, you are asked how you keep your student and stakeholder listening and learning methods current with your changing educational service needs and directions.

Comments

- Maintaining awareness of student needs and expectations is critical to improve educational services and to support related planning. Student needs, as addressed in this Item, should take into account information not only from students but also from families, employers, and other education organizations, as appropriate. Student needs should be interpreted in a holistic sense to include knowledge, application of knowledge, problem-solving, learning skills, interpersonal skills, character development, critical thinking skills, conflict resolution, and citizenship.
- Knowledge of student and market segments allows your organization to tailor listening and learning strategies and market offerings, to support and tailor your marketing strategies, and to develop new educational programs and offerings.
- Understanding student needs and expectations covers all aspects of education content and delivery and of the learning environment, including safety. An important part of this information comes from observations of student utilization of offerings, facilities, and services to determine their influence on active learning. This requires organizations to use current knowledge about student development and learning, including academic, social, and ethical development.
- The determination of future needs and expectations of students should take into account the following: demographic data and trends; changing requirements of graduates in the workplace or other schools; changing local, state, national, and global requirements; and education alternatives for prospective students. Changing requirements of graduates should reflect requirements set by stakeholders, taking into account paths followed by your organization's graduates. These requirements might include qualification standards, licensure requirements, workplace skills such as teamwork, and admission requirements.



- A variety of listening and learning strategies are commonly used. Selection depends on the type and size of the organization and other factors. Some examples are
  - building relationships with students, families, social service agencies, employers, alumni, and other stakeholders
  - tracking demographic, societal, economic, technological, competitive, and other factors that may bear upon student and stakeholder requirements, expectations, preferences, or alternatives
  - seeking to understand in detail students' and stakeholders' expectations and needs and how they are likely to change
  - holding focus groups with students/stakeholders
  - using critical incidents, such as complaints, to understand key education and support service attributes from the point of view of students/stakeholders and faculty and staff
  - interviewing students and stakeholders to determine the reasons students drop out or choose to enroll elsewhere
  - analyzing major factors affecting students/stakeholders relative to organizations providing similar educational services

3.2 Student and Stakeholder Relationships and Satisfaction

Purpose

This Item examines your organization's processes for building student and stakeholder relationships and determining student and stakeholder satisfaction, with the aim of enhancing student learning and the organization's ability to deliver its services, satisfy students and stakeholders, develop new opportunities, and foster continuing interactions and positive referrals.

Requirements

You are asked how you build relationships with students and stakeholders to support your ability to deliver services and foster continuing interactions and/or positive referrals.

You are asked how you determine key student and stakeholder requirements and how you maintain effective stakeholder relationships, as well as what measures/indicators are used. As part of this response, you are asked to describe key access mechanisms for stakeholders to seek information and to make complaints. You are asked how these requirements are deployed to all people involved in responding to stakeholders.

You are asked to describe your complaint management process. This description should include how you ensure prompt and effective problem resolution. The description also should cover how all complaints are aggregated and analyzed for use in improvement throughout your organization and by your partners, as appropriate.

You are asked how you keep your approaches to relationship building and student and stakeholder access current with your changing educational service needs and directions.

You are asked how you determine student and stakeholder satisfaction and dissatisfaction, including how you capture actionable information that reflects students' and stakeholders' future interactions and/or potential for positive referrals. You also are asked how you follow up on your interactions with students and key stakeholders to receive prompt and actionable feedback.

You are asked how you obtain and use information on student and stakeholder satisfaction relative to satisfaction with other organizations, competitors, and/or benchmarks so you can gauge your performance in the market.

Finally, you are asked how you keep your methods for determining student and stakeholder satisfaction current with your changing educational service needs and directions.

Comments

- This Item emphasizes how you obtain actionable information from students and stakeholders. Information that is actionable can be tied to key services and processes and be used to determine value, cost/revenue implications, and overall implications for setting improvement and change priorities.
- Relationships provide a potentially important means for education organizations to understand and manage student/stakeholder expectations, to develop new educational services, and to maintain a learning environment. Also, faculty and staff may provide vital information for building partnerships and other longer-term relationships with students and other stakeholders.

- Determining satisfaction relative to comparable organizations and/or benchmarks is of critical importance to managing in a competitive environment. Comparative data can provide much useful information on the factors that drive student choices.
- Four key aspects of student and stakeholder relationships are addressed: (1) determining and deploying contact requirements, (2) maintaining effective relationships and partnerships to pursue common purposes, (3) using key measures/indicators to monitor the effectiveness of key relationships, and (4) promptly resolving complaints.
- The complaint management process might include performing analysis and setting priorities for improvement projects based upon impact on student learning. Complaint aggregation, analysis, and root cause determination should lead to effective elimination of the causes of complaints and to setting priorities for evaluation and use in overall organizational improvement. Successful outcomes require effective deployment of complaint-related information throughout the organization.
- Three types of requirements are important in determining student and stakeholder satisfaction:
  - The first is how your organization gathers information on student and stakeholder satisfaction, including any important differences in approaches for different student/stakeholder groups. A critical part of this process is how your organization's measurements capture key information that bears upon students' motivation and active learning and how objectivity and reliability of the measurements are ensured. Key information might include climate factors such as the quality of relationships, a sense of inclusion, and safety.
  - The second is how the organization follows up with students and key stakeholders regarding services and recent interactions to determine satisfaction and to resolve problems quickly.
  - The final requirement is how your organization compares the satisfaction of its students and stakeholders to the satisfaction of these groups with competitors and organizations delivering similar educational services and to benchmarks. Such information might be derived from available published data or independent studies. The purpose of this comparison is to develop information that can be used for improving the delivery of education, student, and support services and creating an overall climate conducive to learning for all students.
- Changing educational service needs and directions might include new modes of student access, such as the Internet. In such cases, key requirements might include security and access to personal assistance.

Information and Analysis (Category 4)

The Information and Analysis Category is the main point within the Criteria for all key information about effectively measuring and analyzing performance to drive improvement in student and operational performance. In the simplest terms, Category 4 is the "brain center" for the alignment of your organization's programs and offerings and its strategic objectives. Central to such use of data and information are their quality and availability. The Category addresses all basic performance-related information and comparative information, as well as how such information is analyzed and used to optimize organizational performance.

4.1 Measurement and Analysis of Organizational Performance

Purpose

This Item examines your organization's selection, management, and use of data and information for performance measurement and analysis in support of organizational planning and performance improvement. The Item serves as a central collection and analysis point in an integrated performance measurement and management system that relies on data and information related to student and operational performance, stakeholders, and budget issues. The aim of measurement and analysis is to guide your organization's process management toward the achievement of key education results and strategic objectives.

Requirements

You are asked how you gather and integrate data and information for monitoring daily operations and supporting organizational decision making and how you select and use measures for tracking those operations and overall student and organizational performance. You also are asked how you select and use comparative data and information to help drive performance improvement. These requirements address the major components of an effective performance measurement system.

You are asked what analyses you perform to support your senior leaders' assessment of overall organizational performance and your strategic planning. You are asked how the results of organizational-level analysis are communicated to support decision making throughout your organization and are aligned with your education results, strategic objectives, and action plans.

Finally, you are asked how you keep your organization's performance measurement system current with changing educational service needs and directions.

Comments

- Alignment and integration are key concepts for successful implementation of your performance measurement system.

They are viewed in terms of extent and effectiveness of use to review organizational performance and needs. Alignment and integration include how measures are aligned throughout your organization, how they are integrated to yield organization-wide data/information, and how performance measurement requirements are deployed by your senior leaders to track work group and/or educational program performance on key measures targeted for organization-wide significance and/or improvement.

- The use of comparative data and information is important to all organizations. The major premises for use are (1) your organization needs to know where it stands relative to comparable organizations from within and outside the academic community and to best practices, (2) comparative and benchmarking information often provides the impetus for significant ("breakthrough") improvement or change that might signal changes taking place in educational practices, and (3) comparing performance information frequently leads to a better understanding of your processes and their performance.
- Your effective selection and use of comparative data and information require (1) determination of needs and priorities; (2) criteria for seeking appropriate sources for comparisons—from within and outside your academic community and markets; and (3) use of data and information to promote major, nonincremental ("breakthrough") improvements in areas most critical to your organization's strategy.
- Individual facts and data do not usually provide an effective basis for setting organizational priorities. This Item emphasizes that close alignment is needed between your analysis and your organizational performance review and between your analysis and your organizational planning. This ensures that analysis is relevant to decision making and that decision making is based on relevant data and information.
- Action depends on understanding cause-effect connections among processes and between processes and results. Programmatic and operational changes may have many resource implications. Organizations have a critical need to provide an effective analytical basis for decisions because resources for improvement are limited and cause-effect connections are often unclear.
- Analyses that your organization conducts to gain an understanding of performance and needed actions may vary widely depending on your type of organization, size, relationship to other organizations providing similar services, and other factors. Examples of possible analyses include
  - relationships between student and overall organizational performance and behavioral improvement indicators
  - trends in key indicators of student motivation, such as absenteeism, dropout rates, and use of education facilities
  - test performance trends for students, segmented by student groups, as appropriate
  - relationships between in-school outcomes/performance and longer-range outcomes—in other schools or in the workplace, for example
  - activity-level cost trends in organizational operations
  - student utilization of learning technologies and/or facilities versus assessment of student performance
  - relationships between student background variables and outcomes
  - relationships between students' allocation of time to activities and projects and their academic performance
  - percentage of students attaining industry-based and/or profession-based skill certification
  - percentage of students completing advanced placement courses by graduation
  - cost/budgetary implications of student-/stakeholder-related problems and effective problem resolution
  - financial benefits derived from improvements in faculty/staff safety, absenteeism, and turnover
  - benefits and costs associated with education and training, including electronic learning opportunities for faculty and staff
  - benefits and costs associated with improved organizational knowledge management and sharing
  - how the ability to identify and meet faculty/staff requirements correlates with faculty/staff retention, motivation, and well-being
  - cost/revenue implications of faculty- and staff-related problems and effective problem resolution
  - allocation of resources among alternative improvement projects based on cost/benefit implications and improvement potential
  - cost/financial implications of new educational programs/services and market entry and changing educational and operational needs
- The availability of electronic data and information of many kinds (e.g., student-/stakeholder-related, budgetary/financial, operational, accreditation/regulatory) and from many sources (e.g., internal, third party, and public sources; the Internet; Internet tracking software) permits extensive analysis and correlations. Effectively utilizing and prioritizing this wealth of information are significant organizational challenges.

4.2 Information Management

Purpose

This Item examines how your organization ensures the availability of high-quality, timely data and information for all your key users—faculty and staff, students and stakeholders, and suppliers/partners.

Requirements

You are asked how you make data and information available and accessible to your user communities. You are asked how you ensure that the data and information have all the characteristics your users expect: integrity, reliability, accuracy, timeliness, and appropriate levels of security and confidentiality.

You also are asked how you ensure that your hardware systems and software are reliable and user-friendly so that access is facilitated and encouraged.

Finally, you are asked how you keep your data availability mechanisms, software, and hardware current with changing educational service needs and directions.

Comments

- Managing information can require a significant commitment of resources as the sources of data and information grow dramatically. Organizational abilities to ensure reliability and availability in a user-friendly format are challenged by the expanding use of electronic information within organizations' operations; as part of organizational knowledge networks; from the Internet, intranet, and school Web sites; and in communications between students and their school, as well as between stakeholders and the school.
- Data and information are especially important in grade-to-grade, school-to-school, and school-to-work transitions and in partnerships with business, social services, and the community. Your responses to this Item should take into account this use of data and information and should recognize the need for rapid data validation and reliability assurance, given the increasing use of electronic data transfer.

Faculty and Staff Focus (Category 5)

Faculty and Staff Focus addresses key human resource practices—those directed toward creating and maintaining a high-performance workplace with a strong focus on students and learning and toward developing faculty and staff to enable them and your organization to adapt to change. The Category covers faculty and staff development and management requirements in an integrated way, i.e., aligned with your organization's strategic objectives. Your faculty and staff focus includes your work environment and your faculty and staff support climate.

To reinforce the basic alignment of workforce management with overall strategy, the Criteria also cover faculty and staff planning as part of overall planning in the Strategic Planning Category.

5.1 Work Systems

Purpose

This Item examines your organization's systems for work and jobs, compensation, faculty and staff performance management, motivation, recognition, communication, and hiring, with the aim of enabling and encouraging all faculty and staff to contribute effectively and to the best of their ability. These systems are intended to foster achievement of education objectives and high performance, to result in individual and organizational learning, and to enable adaptation to change.

Requirements

You are asked how you organize and manage work and jobs to promote cooperation, initiative/innovation, and flexibility. You are asked how you achieve effective communication and knowledge/skill sharing. You also are asked how your administrators and supervisors motivate faculty and staff to develop and utilize their full potential, including the mechanisms you use to attain job- and career-related learning objectives.

You are asked how your faculty and staff performance management system, including feedback to faculty and staff, supports high performance and a focus on students, stakeholders, and educational services/programs. This should include how compensation, recognition, and related practices reinforce these objectives, including your overall objectives for student learning and development.

You are asked how you accomplish effective succession planning for senior leadership and others.

Finally, you are asked how you identify the capabilities needed by potential faculty and staff and how you recruit, hire, and retain new faculty and staff. Your considerations should include the ability of your work system to benefit from the diverse ideas and cultures of your communities.

Comments

- Because of differing responsibilities, organizational structure and compensation and recognition systems might differ greatly between faculty and staff units or among faculty units. Consideration of these differences is important not only for developing current and near-term performance objectives but also for addressing individual and organizational learning, and it helps enable adaptation to change.
- High-performance work is characterized by a focus on student achievement, flexibility, innovation, knowledge and skill sharing, alignment with organizational objectives, and the ability to exercise discretion and make effective decisions to respond to changing educational service needs and requirements of your students, stakeholders, and markets. The focus of this Item is on a workforce capable of achieving high performance. In addition to the enabled faculty and staff and proper work system design, high-performance work requires ongoing education and training, as well as information systems that ensure proper information flow. To help faculty and staff realize their full potential, organizations may use individual development plans prepared with each faculty and staff member and addressing his/her career and learning objectives.
- Work and job factors for your consideration include cross-training, job rotation, use of teams (including self-directed teams and, in some cases, involving paraprofessionals and adjunct faculty), and changes in classroom design. Also important is effective communication across functions and work units to ensure a focus on student and stakeholder needs and requirements and to ensure an environment of encouragement, trust, knowledge sharing, and mutual commitment.
- Organizations should address the important alignment of incentives with the achievement of key organizational objectives. A basic requirement for this alignment is consistency between compensation and recognition and work structures and processes. Faculty and staff compensation and recognition systems should reinforce student achievement, high performance, job design, and learning. To be effective, compensation and recognition might be tied to demonstrated skills and/or to evaluations by teams of peers.
- Collaboration and teamwork among faculty might address early detection of changes in student behaviors or progress that signal difficulties in the learning environment or in the development of the students.
- The requirements of high-performance work, coupled with faculty and staff shortages, necessitate more attention to succession planning, recruitment strategies, and hiring profiles. This should include and capitalize on workforce diversity factors.

5.2 Faculty and Staff Education, Training, and Development

Purpose

This Item examines your organization's faculty and staff education and training, with the aim of establishing and maintaining a high-performance workplace and building faculty and staff knowledge, skills, and capabilities.

Requirements

You are asked how faculty and staff education and training tie to your action plans, including how education and training balance short- and longer-term individual needs and organizational objectives, such as developing expertise in promoting active learning and in performing formative and summative assessments. You are asked how you seek and use input on education and training needs and delivery from those most directly benefitting—faculty, staff, and their supervisors/administrators.

You are asked how you address key organizational needs associated with technological change, leadership/supervisor development, new faculty and staff orientation, safety, performance improvement, and diversity.

You are asked how you deliver and evaluate faculty and staff education and training, taking into account individual and organizational performance. Finally, you are asked how you reinforce knowledge and skills on the job.

Comments

- Education and training address the knowledge and skills faculty and staff need to meet their overall work and personal and professional objectives and the organization's need for leadership development of faculty and staff. Education and training needs might vary greatly, depending on many factors—especially specific faculty and staff responsibilities. These needs might include gaining knowledge about assessment practices, learning styles, and working effectively with students from other cultures who have limited English proficiency. They also might include gaining skills in communications, sharing knowledge, interpreting and using data, using new technology, process analysis, and evaluating and understanding student behavior and character development, as well as other training that affects faculty and staff effectiveness and safety.
- This Item emphasizes the importance of the involvement of faculty and staff and their supervisors in the design of training, including clear identification of specific needs. This involves job analysis, i.e., understanding the types

and levels of skills required and the timeliness of training. Determining specific education and training needs might include use of organizational assessment or faculty and staff self-assessment to determine and/or compare skill levels for progression within the organization or elsewhere. Education and training also include appropriate orientation of new faculty and staff.

- Education and training delivery might occur inside or outside your organization and could involve on-the-job, classroom, computer-based, or distance learning, as well as other types of delivery. Training also might occur through developmental assignments within or outside your organization. This includes the use of developmental assignments such as sabbatical leave, internships, or job shadowing within or outside the organization to enhance faculty and staff career opportunities and employability.
- Effective performance management also includes the evaluation of education and training. Such evaluation might take into account administrators' evaluation, faculty and staff self-evaluation, and peer evaluation of the value received through education and training relative to needs identified in their design. Evaluation also might address factors such as the effectiveness of education and training delivery, its impact on work unit and organizational performance, and costs of delivery alternatives.

5.3 Faculty and Staff Well-Being and Satisfaction

Purpose

This Item examines your organization's work environment, your faculty and staff support climate, and how you determine job satisfaction, with the aim of fostering the well-being, satisfaction, and motivation of faculty and staff while recognizing their diverse needs.

Requirements

You are asked how you ensure a safe and healthful workplace, taking into account differing work environments and associated requirements. Special emphasis is placed on how faculty and staff contribute to identifying important factors and to improving workplace safety. You also are asked to identify appropriate measures and targets so that status and progress can be tracked.

You are asked how you determine the key factors that affect faculty and staff well-being, satisfaction, and motivation. Included is how these factors are segmented for a diverse workforce and different categories/types of faculty and staff. In addition, you are asked how your services, benefits, and policies support faculty and staff well-being, satisfaction, and motivation based upon a holistic view of this key stakeholder group. Special emphasis is placed on the variety of approaches you use to satisfy a diverse workforce with differing needs and expectations.

You are asked to describe formal and/or informal evaluation methods and measures you use to determine faculty and staff well-being, satisfaction, and motivation. This description should include how you tailor these methods and measures to a diverse workforce and to different categories and types of faculty and staff and how you use other indicators (e.g., faculty and staff retention, absenteeism, grievances, and safety) to support your assessment. Finally, you are asked how you relate evaluation findings to key organizational performance results to identify key priorities.

Comments

- Since the safety and health of faculty and staff depend significantly on specific work environments and responsibilities, it is important to view such factors separately and to segment measures and data accordingly, addressing the principal safety and health issues associated with each work unit.
- Most education organizations, regardless of size, have many opportunities to contribute to faculty and staff well-being and satisfaction. Increasingly, the needs of a diverse workforce should be considered in selecting and using these opportunities. Some examples of services, facilities, activities, and other opportunities are personal

and career counseling; career development and employability services; recreational or cultural activities; formal and informal recognition; nonwork-related education; day care; special leave for family responsibilities and/or community service; flexible work hours and benefits packages; outplacement services; and retiree benefits, including extended health care and access to faculty and staff services.

- Many factors might affect faculty and staff well-being and satisfaction, and these factors are likely to differ greatly among faculty and staff groups. The organization might need to consider factors such as effective faculty and staff problem and grievance resolution; faculty and staff development and career opportunities; faculty and staff preparation for changes in technology or organizational structure; the work environment and leadership support; workload; communication, cooperation, and teamwork; job security; compensation; equality of opportunity; appreciation of the differing needs of diverse employee groups; and the capacity to provide required services to students.
- In addition to direct measures of faculty and staff satisfaction and well-being through formal or informal surveys, some other indicators include safety, absenteeism, turnover, grievances, Occupational Safety and Health Administration (OSHA) reportables, and worker's compensation claims.

Process Management (Category 6)

Process Management is the focal point within the Education Criteria for all key processes—educational processes and those that support these processes, including student services and support processes. As appropriate to an organization's mission, key processes might include conducting research and outreach/service to key communities. Built into the Category are the central requirements for efficient and effective process management: effective education design and delivery; a focus on student learning; linkage to suppliers and partners; and evaluation, continuous improvement, and organizational learning. It is crucial to utilize key measures for tracking all aspects of your overall process management.

6.1 Education Design and Delivery Processes

Purpose

This Item examines your organization's key education design and delivery processes, with the aim of improving your organization's educational effectiveness.

Requirements

You are asked to identify your key design processes for educational programs and offerings and their related delivery systems and processes. You are asked how you ensure that programs and offerings address student needs, meet high standards, and focus on active learning. You also are asked how you address key factors in design effectiveness, including individual differences in student learning rates and styles and their assessment; information on student segments and/or individual students; changing student, stakeholder, and market requirements; new technology, including e-technology; and sequencing and offering linkages. Finally, you are asked how you incorporate a measurement plan that makes effective use of formative and summative assessment and how you ensure that faculty and staff are prepared to implement programs and offerings.

You are asked to identify your key educational programs, offerings, and delivery processes and their key performance requirements. You are asked how you ensure that ongoing educational programs and offerings meet key design and delivery requirements and what key observations and measures/indicators are used to monitor and improve their delivery. You are asked to include how key formative and summative assessments of students; in-process measures of programs and offerings; and real-time student, faculty, staff, and stakeholder input are used in managing your educational programs and offerings, as appropriate. These requirements and measures are the basis for maintaining and improving your services and delivery processes. You also are asked how you evaluate programs and offerings to minimize redesign efforts and their costs. Finally, you are asked how you improve your educational programs and offerings to achieve better student learning and improvements to services.

Comments

- Your design approaches could differ appreciably depending on many factors, including your organization's mission; your market segments; the method of delivery; and students' ages, experiences, and capabilities. Other factors that might need to be considered in design include capability and variability of faculty/staff, differences among students, long-term performance, assessment capability, student and stakeholder expectations, and safety.
- "Educational programs and offerings" refers to all activities that engage students in learning or that contribute to scientific or scholarly investigation, including courses, degree programs, research, outreach, service, cooperative projects and overseas studies. Design of programs and offerings requires the identification of critical points in the teaching and learning process for measurement, observation, or intervention. The intent is that these activities occur at the earliest points possible in the teaching and learning process.
- Achieving expected student learning frequently requires setting performance levels or standards against which to gauge progress and to guide decision making in design and delivery of programs. Preparing for individual differences in students requires understanding those differences and associated strategies to capitalize on strengths

and overcome obstacles in styles and rates of learning. Instructional techniques for active learning provide an opportunity for students and student segments to analyze, synthesize, and evaluate information as part of the learning process.

- This Item calls for information on the incorporation of new technology, including e-technology. E-technology might include communicating with students and giving them continuous (24/7) access; sharing information with faculty, staff, and other stakeholders; and automated information transfer.
- Efficiency and effectiveness factors such as addressing sequencing and linkages among programs and offerings should take into account the various stakeholders in the educational process. Transfer of learning from past design projects, as well as among and across grade levels, disciplines, and institutions, can improve the design and delivery process and contribute to reduced cycle time in future efforts.
- A measurement plan includes observations and measures/indicators that are used to provide timely information to help students and faculty improve learning. Formative and summative assessments need to be tailored to the educational offering and program goals and might range from purely individualized to group-based assessments. In addition to these assessments, observations and measures/indicators might include enrollment and participation figures, student evaluations of courses/instructors, success rates, attendance rates, dropout rates, information from student counselors, advanced study rates, complaints, feedback from students and families, and formal classroom observation by faculty leaders. Among the key factors to be addressed in assessment are ensuring appropriate comparisons among students and the relevance of assessment criteria to your mission and objectives. Differences among students must be a critical consideration in the evaluation of key educational processes. In addition, assessment optimally should be related to the knowledge and skill requirements of offerings, and assessment should provide students and others with key information about what students know and are able to do.

- Ensuring that faculty and staff are properly prepared may require helping them gain subject matter expertise, an understanding of cognitive/social-emotional/ethical development, knowledge of teaching strategies, skills in facilitation and learning assessment, an understanding of how to recognize and use learning research theory information, and skills in reporting and analyzing information and data on student progress.
- "Education delivery" refers to instructional approaches, i.e., modes of teaching and organizing activities and experiences so that effective learning takes place. Coordination of design and delivery processes should involve representatives of all work units and/or individuals who take part in delivery and whose performance affects overall education outcomes. This might include groups such as faculty in sending and receiving programs; academic staff members; faculty from different departments, disciplines, or levels; and social service, advising, or counseling staff members.
- This Item calls for information on the management and improvement of key educational programs, offerings, and delivery processes. The information required includes a description of the key processes, their specific requirements, and how performance relative to these requirements is determined and maintained. Increasingly, these requirements might include the need for agility—speed and flexibility—to adapt to change.
- Specific reference is made to in-process measurements of educational programs and offerings and to student, faculty, staff, and stakeholder input. These measurements and interactions require the identification of critical points in the learning process for measurement, observation, or interaction. These activities should occur at the earliest points possible in the process to minimize problems, failure, and costs. Achieving desired performance frequently requires setting performance levels or standards to guide decision making. When sufficient learning does not occur, corrective action is required. Proper corrective

action involves changes at the source (root cause) of the problem. Such corrective action should minimize the likelihood of this type of variation occurring again or elsewhere in your organization. Differences among students must be considered in evaluating how well the educational process is performing. This might entail allowing for specific or general contingencies, depending on student differences and needs.

- Improving organizational performance means not only providing better educational value for the student but also better operational performance from the organization's perspective. A wide variety of improvement approaches might be used depending on the educational program and many student-specific factors. These approaches include (1) using information from students, families, feeder schools, and/or receiving schools; (2) benchmarking practices of other organizations; (3) using assessment results; (4) conducting peer evaluations; (5) using research on learning, assessment, and instructional methods; (6) using information from employers and governing bodies; (7) collecting information on the use of new learning technology; and (8) sharing successful strategies across the organization. Process improvement approaches also might utilize financial data to evaluate alternatives and set priorities. In some cases, improvement of educational processes might entail complete redesign of the content and/or delivery of programs and offerings.

6.2 Student Services

Purpose

This Item examines your organization's key student services, with the aim of ensuring that they meet the most important student needs.

Requirements

You are asked to identify your key student services and their key requirements. You are asked how your organization's key student services are designed and delivered to meet key requirements and how you incorporate input from students, faculty, staff, stakeholders, and suppliers, as appropriate.

You are asked for your key performance measures for the control and improvement of these services, including how in-process measures and student, faculty, staff, stakeholder, and supplier feedback are used.

Finally, you are asked how you improve your student services to achieve better performance, to control overall costs, and to keep them current with educational service needs and directions.

Comments

- Your key student services are those considered most important to student matriculation and success by your organization's senior leaders. These might include services related to counseling, advising, and tutoring students; libraries and information technology; and student recruitment, enrollment, registration, placement, financial aid, and housing. It also might include food services, security, health services, transportation, and bookstores. The key services to be included in Item 6.2 are distinctive to your organization and, in a few cases, the examples listed above may fit more appropriately in Item 6.3, e.g., information technology or transportation. Given the diverse nature of these processes, the requirements and performance characteristics might vary significantly for different processes; however, coordination and integration of design requirements may help ensure effective linkage and performance.

6.3 Support Processes

Purpose

This Item examines your organization's key processes that support your daily operations as an education organization and your faculty and staff in delivering services.

Requirements

You are asked to identify your key processes for supporting your daily operations and your faculty and staff in delivering educational programs and offerings and student services, as well as these processes' key operational requirements. You are asked how your organization's key support processes are designed to meet all your requirements and how you incorporate input from faculty and staff, as appropriate. You also are asked how day-to-day operation of your key support processes ensures meeting the key requirements, including how in-process measures and faculty and staff feedback are used in managing support processes.

You are asked how you minimize costs associated with inspections, tests, and process and/or performance audits of support processes. Finally, you are asked how you improve your key support processes to achieve better performance and to keep them current with your organizational needs and directions.

Comments

- Your support processes are those that are considered most important for support of your organization's design and delivery of educational programs and offerings and student services. The support process requirements usually do not depend significantly on the characteristics of educational programs and offerings or student services. Support process design requirements usually depend significantly on your internal requirements, and they must be coordinated and integrated to ensure efficient and effective linkage and performance. Support processes might include processes for finance and accounting; plant and facilities management; legal, human resources, and marketing services; information services; public relations; central receiving; purchasing; management of suppliers/

partners; and secretarial and other administrative services. The key services to be included in Item 6.3 are distinctive to your organization. In a few cases, services such as those listed above may fit more appropriately in Item 6.2.

- This Item calls for information on how your organization evaluates and improves the performance of your key support processes. Four approaches frequently used are (1) process analysis and research, (2) benchmarking, (3) use of alternative technology, and (4) use of information from customers of the processes. Together, these approaches offer a wide range of possibilities, including complete redesign ("re-engineering") of processes.

Organizational Performance Results (Category 7)

The Organizational Performance Results Category provides a results focus that encompasses your students' learning; student and stakeholder satisfaction; your overall budgetary, financial, and market performance; your performance in creating a positive, productive, learning-centered, and supportive work environment; and results of all key processes and process improvement activities. Through this focus, the Criteria's purposes—superior value of offerings as viewed by your students, stakeholders, and markets; superior organizational performance as reflected in your operational and financial indicators; and organizational and personal learning—are maintained. Category 7 thus provides "real-time" information (measures of progress) for evaluation and improvement of educational programs and services and the organization's processes, in alignment with your overall organizational strategy. Item 4.1 calls for analysis of organizational results data and information to determine your overall organizational performance.

7.1 Student Learning Results

Purpose

This Item examines your organization's student learning results, with the aim of demonstrating the effectiveness of educational programs and activities.

Requirements

You are asked to provide current levels, trends, and appropriate comparisons for key measures/indicators of student learning and improvements in student learning.

Comments

- This Item addresses the principal student learning results based upon mission-related factors and assessment methods. This Item is critical for your organizational assessment, because it focuses on improvement by the organization over time and achievement levels relative to comparable organizations and/or student populations. Proper use of this Item depends on appropriate normalization of data to compensate for initial differences in student populations.
- The following considerations are critical to understanding this Item: (1) student learning should reflect holistic and mission-related results; (2) current levels and trends should be reported and used for comparisons with other organizations providing similar services and/or with student populations, as well as to demonstrate year-to-year improvement; and (3) data should be segmented by student groups to permit an analysis of trends and comparisons that demonstrates the organization's sensitivity to educational improvement for all students.
- Student learning results should reflect not only what students know but also what they have learned as a result of the educational program, what they are able to do, and how well they are able to function. Results should consider external requirements derived from your markets and from other organizations providing similar services. Appropriate for inclusion are curriculum-based and criterion-referenced formative and summative assessment results that address key learning goals and overall performance requirements and are embedded and ongoing, allowing for prompt feedback.
- Although better admission criteria might contribute to improved education for all students, improved student learning based entirely upon changing students' entry-level qualifications should not be reported in Item 7.1. However, improvement trends in student admission qualifications are appropriate for inclusion in Organizational Effectiveness Results (Item 7.5). Improvement in student learning beyond that which could be attributed to entry-level qualifications is appropriate for inclusion in Item 7.1, along with other measures/indicators of improvement trends and comparisons.
- Determining the correlation between education design and delivery and student learning is a critical management tool for (1) defining and focusing on key instructional requirements; (2) identifying educational service differentiators; and (3) determining cause-and-effect relationships between your educational service attributes and evidence of student and stakeholder satisfaction; student persistence, graduation, and completion; and positive referral. The correlation might reveal emerging or changing requirements, changing markets, or potential obsolescence of educational offerings.

7.2 Student- and Stakeholder-Focused Results

Purpose

This Item examines your organization's student- and stakeholder-focused results, with the aim of demonstrating how well your organization has been satisfying students' and stakeholders' key needs and expectations that affect satisfaction, loyalty, persistence, and positive referral.

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Requirements

You are asked to provide current levels, trends, and appropriate comparisons for key measures/indicators of the satisfaction and dissatisfaction of current and past students and key stakeholders, including comparisons with levels of student and stakeholder satisfaction relative to competitors and comparable organizations. You also are asked to provide current levels and trends in key measures/indicators of student- and stakeholder-perceived value, loyalty, persistence, positive referral, and other aspects of relationship building, as appropriate.

Comments

- This Item focuses on the creation and use of all relevant data to determine and help predict your organization's performance as viewed by your students and stakeholders. Relevant data and information include student and stakeholder satisfaction and dissatisfaction; gains and losses of students; positive referrals; complaints; student- and stakeholder-perceived value; student assessment of accessibility and availability of educational programs and offerings; and awards, ratings, and recognition from independent rating organizations.
- This Item includes measures of service performance that serve as indicators of student and stakeholder satisfaction. These measures of service performance are derived from student- and stakeholder-related information gathered in Items 3.1 and 3.2.
- Effectively used, satisfaction results provide important indicators of organizational effectiveness and improvement. Effective use entails understanding the key dimensions of satisfaction and dissatisfaction, recognition that satisfaction and dissatisfaction with educational services and/or performance might differ among student and stakeholder segments, and recognition that satisfaction and dissatisfaction might change over time. The underlying purpose of the Item is not only to ensure that satisfaction levels provide a useful tool in assessing key climate factors that contribute to or inhibit education but also to encourage inclusion of educational and growth dimensions in satisfaction measurement. Satisfaction results are thus principally enablers, not an end in themselves. Together, the results reported in Item 7.2 should help guide action leading to improved student performance, recognizing that the action might address climate, curricula, faculty development, and many other factors. The Item should not be interpreted as emphasizing "popularity" or other short-term, noneducational aims.

7.3 Budgetary, Financial, and Market Results

Purpose

This Item examines your organization's budgetary, financial, and market results, with the aim of understanding your management and effective use of financial resources and your market challenges and opportunities.

Requirements

You are asked to provide levels, trends, and appropriate comparisons for key budgetary, financial, and market indicators. Overall, these results should provide a complete picture of the effectiveness of management and use of financial resources.

Comments

- This Item addresses those factors that best reflect the organization's financial, budgetary, and market performance. Measures of budgetary and financial performance might include instructional and general administration expenditures per student; income, expenses, and reserves; the tax rate; tuition and fee levels; cost per academic credit; annual grants/awards; program expenditures as a percentage of budget; annual budget increases or decreases, resources redirected to education from other areas; scholarship growth; the percentage of budget for research; and the budget for public service. Market performance measures could include market share measures of growth or loss of students or programs, new educational services entered, entry into Web-based and distance learning markets, and market position. Measures also might include the number of students transferring into or out of the organization, including into or from alternative educational services such as home schooling, charter schools, or vouchers; utilization of new educational program offerings; or new/expanded delivery methods, as appropriate. Comparative data for these measures might include performance relative to comparable organizations, competing organizations, and appropriate benchmarks from within and outside the academic community.

7.4 Faculty and Staff Results

Purpose

This Item examines your organization's faculty- and staff-related results, with the aim of demonstrating how well your organization has been creating and maintaining a positive, productive, learning-centered, and caring work environment for all faculty and staff.

Requirements

You are asked to provide current levels, trends, and appropriate comparisons for key measures/indicators of faculty and staff well-being, satisfaction, dissatisfaction, and development.

You also are asked to provide data and information on your faculty and staff work system performance and effectiveness.

Comments

- Results reported might include generic or organization-specific factors. Generic factors might include safety, absenteeism, turnover, satisfaction, and complaints (grievances). For some measures, such as absenteeism and turnover, local or regional comparisons might be appropriate.

- Organization-specific factors are those you assess for determining your faculty and staff well-being and satisfaction. These factors might include the extent of training or cross-training or the extent and success of self-direction.
- Results measures reported for work system performance might include improvement in job classification, job rotation and/or sharing, work design, and local decision making. Results reported might include input data, such as extent of training, but the main emphasis should be on data that show effectiveness of outcomes.
- The Item calls for comparative information so that results can be evaluated meaningfully against comparable organizations or other relevant external measures of performance.

7.5 Organizational Effectiveness Results

Purpose

This Item examines your organization's other key operational results, with the aim of achieving organizational effectiveness, attaining key organizational goals, and demonstrating good organizational citizenship.

Requirements

You are asked to provide current levels, trends, and appropriate comparisons for key measures/indicators of operational and strategic performance that contribute to enhanced learning and/or operational effectiveness results reported in Items 7.1 through 7.4.

You also are asked to provide data and information on your organization's safety, regulatory, legal, and accreditation requirements and support of key communities. Finally, you are asked to provide results for key measures/indicators of accomplishment of organizational strategy.

Comments

- This Item addresses key performance results not covered in Items 7.1 through 7.4 that contribute significantly to enhanced learning and the organization's mission and goals, e.g., student learning; student and stakeholder satisfaction; operational effectiveness; and budgetary, financial, and market performance. The Item encourages the use of any unique measures the organization has developed to track performance in important areas.
- Results should reflect key process performance measures, including those that influence student learning and student and stakeholder satisfaction. Measures of productivity and operational effectiveness, including timeliness in all key areas—educational and student services and support areas—are appropriate for inclusion. Results of compliance and improvement in areas such as athletic programs could be reported. Also appropriate for inclusion are improvements in admission standards; improvements in safety and hiring equity; effectiveness of research, outreach, and services; innovations; increased use of Web-based technologies; utilization of facilities by community organizations; recycling; contributions to the community; improved performance of administrative and other support functions such as purchasing; cost containment; and redirection of resources from other areas to education.
- Measures should include environmental, regulatory, and accreditation compliance and noteworthy achievements in these areas, as appropriate. Results also should include indicators of support for key communities and other public purposes.
- If your organization has received sanctions or adverse actions under law, regulation, or contract during the past three years, the incidents and current status should be summarized.
- The Item calls for comparative information so that results reported can be evaluated against other organizations and relevant external measures of performance. Such data might be derived from independent surveys, studies, peer group ratings, or other sources.

Scoring System

The scoring of responses to Criteria Items (Items) and Award applicant feedback are based on three evaluation dimensions: (1) Approach, (2) Deployment, and (3) Results. Criteria users need to furnish information relating to these dimensions. Specific factors for these dimensions are described below. Scoring Guidelines are given on page 56.

Approach

"Approach" refers to how you address the Item requirements—the *method(s)* used. The factors used to evaluate approaches include

- the appropriateness of the methods to the requirements
- the effectiveness of use of the methods and the degree to which the approach
  - is repeatable, integrated, and consistently applied
  - embodies evaluation/improvement/learning cycles
  - is based on reliable information and data
- alignment with your organizational needs
- evidence of beneficial innovation and change

Deployment

"Deployment" refers to the *extent* to which your approach is applied. The factors used to evaluate deployment include

- use of the approach in addressing Item requirements relevant and important to your organization
- use of the approach by all appropriate work units

Results

"Results" refers to *outcomes* in achieving the requirements given in Items 7.1–7.5. The factors used to evaluate results include

- your current performance
- your performance relative to appropriate comparisons and/or benchmarks
- rate and breadth of your performance improvements
- linkage of your results measures to key student, stakeholder, market, process, and action plan performance requirements identified in your Organizational Profile and in Approach-Deployment Items

Item Classification and Scoring Dimensions

Items are classified according to the kinds of information and/or data you are expected to furnish relative to the three evaluation dimensions given above.

The two types of Items and their designations are

1. Approach-Deployment **Approach-Deployment**
2. Results **Results**

Approach and Deployment are linked to emphasize that descriptions of Approach should always indicate the Deployment—consistent with the *specific requirements* of the Item. Although Approach and Deployment dimensions are linked, feedback to Award applicants reflects strengths and/or opportunities for improvement in either or both dimensions.

Results Items call for data showing performance levels, relevant comparative data, and improvement trends for key measures/indicators of organizational performance. Results Items also call for data on breadth of performance improvements, i.e., on how widespread your improvement results are. This is directly related to the Deployment dimension; if improvement processes are widely deployed, there should be corresponding results. A score for a Results Item is thus a composite based upon overall performance, taking into account the rate and breadth of improvements and their importance. (See next paragraph.)

"Importance" as a Scoring Factor

The three evaluation dimensions described previously are critical to evaluation and feedback. However, another critical consideration in evaluation and feedback is the importance of your reported Approach, Deployment, and Results to your key organizational factors. The areas of greatest importance should be identified in your Organizational Profile and in Items such as 2.1, 2.2, 3.1, 6.1, 6.2, 7.1, and 7.5. Your key student and stakeholder requirements and key strategic objectives and action plans are particularly important.

Assignment of Scores to Your Responses

The following guidelines should be observed in assigning scores to your Item responses:

- All Areas to Address should be included in your Item response. Also, responses should reflect what is important to your organization.
- In assigning a score to an Item, first decide which scoring range (e.g., 50 percent to 60 percent) best fits the overall Item response. Overall "best fit" does not require total agreement with each of the statements for that scoring range. Assigning the actual score *within* the range requires evaluating whether the Item response is closer to the statements in the next higher or next lower scoring range.
- An Approach-Deployment Item score of 50 percent represents an approach that meets the overall objectives of the Item and that is deployed to the principal activities and work units covered in the Item. Higher scores reflect maturity (cycles of improvement), integration, and broader deployment.
- A Results Item score of 50 percent represents a clear indication of improvement trends and/or good levels of performance in the principal results areas covered in the Item. Higher scores reflect better improvement rates and/or levels of performance, better comparative performance, and broader coverage and integration with education requirements.

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Scoring Guidelines

SCORE	APPROACH-DEPLOYMENT
0%	■ No systematic approach is evident; information is anecdotal.
10% to 20%	■ The beginning of a systematic approach to the basic requirements of the Item is evident. ■ Major gaps exist in deployment that would inhibit progress in achieving the basic requirements of the Item. ■ Early stages of a transition from reacting to problems to a general improvement orientation are evident.
30% to 40%	■ An effective, systematic approach, responsive to the basic requirements of the Item, is evident. ■ The approach is deployed, although some areas or work units are in early stages of deployment. ■ The beginning of a systematic approach to evaluation and improvement of basic Item processes is evident.
50% to 60%	■ An effective, systematic approach, responsive to the overall requirements of the Item and your key organizational requirements, is evident. ■ The approach is well deployed, although deployment may vary in some areas or work units. ■ A fact-based, systematic evaluation and improvement process is in place for improving the efficiency and effectiveness of key processes. ■ The approach is aligned with your basic organizational needs identified in the other Criteria Categories.
70% to 80%	■ An effective, systematic approach, responsive to the multiple requirements of the Item and your current and changing educational service needs, is evident. ■ The approach is well deployed, with no significant gaps. ■ A fact-based, systematic evaluation and improvement process and organizational learning/sharing are key management tools; there is clear evidence of refinement and improved integration as a result of organizational-level analysis and sharing. ■ The approach is well integrated with your organizational needs identified in the other Criteria Categories.
90% to 100%	■ An effective, systematic approach, fully responsive to all the requirements of the Item and all your current and changing educational service needs, is evident. ■ The approach is fully deployed without significant weaknesses or gaps in any areas or work units. ■ A very strong, fact-based, systematic evaluation and improvement process and extensive organizational learning/sharing are key management tools; strong refinement and integration, backed by excellent organizational-level analysis and sharing, are evident. ■ The approach is fully integrated with your organizational needs identified in the other Criteria Categories.

SCORE	RESULTS
0%	■ There are no results or poor results in areas reported.
10% to 20%	■ There are some improvements *and/or* early good performance levels in a few areas. ■ Results are not reported for many to most areas of importance to your key organizational requirements.
30% to 40%	■ Improvements *and/or* good performance levels are reported in many areas of importance to your key organizational requirements. ■ Early stages of developing trends and obtaining comparative information are evident. ■ Results are reported for many to most areas of importance to your key organizational requirements.
50% to 60%	■ Improvement trends *and/or* good performance levels are reported for most areas of importance to your key organizational requirements. ■ No pattern of adverse trends and no poor performance levels are evident in areas of importance to your key organizational requirements. ■ Some trends *and/or* current performance levels—evaluated against relevant comparisons *and/or* benchmarks—show areas of strength *and/or* good to very good relative performance levels. ■ Organizational performance results address most key student/stakeholder, market, and process requirements.
70% to 80%	■ Current performance is good to excellent in areas of importance to your key organizational requirements. ■ Most improvement trends *and/or* current performance levels are sustained. ■ Many to most trends *and/or* current performance levels—evaluated against relevant comparisons *and/or* benchmarks—show areas of leadership and very good relative performance levels. ■ Organizational performance results address most key student/stakeholder, market, process, and action plan requirements.
90% to 100%	■ Current performance is excellent in most areas of importance to your key organizational requirements. ■ Excellent improvement trends *and/or* sustained excellent performance levels are reported in most areas. ■ Evidence of education sector and benchmark leadership is demonstrated in many areas. ■ Organizational performance results fully address key student/stakeholder, market, process, and action plan requirements.

For definitions of the following **key terms**, see pages 33–38: anecdotal, basic requirements, integration, multiple requirements, overall requirements, and systematic.

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Steps toward a Mature Process Approach
An Aid for Scoring Approach-Deployment Items

(1) Reacting to Problems

Operations are characterized by activities rather than by processes, and they are largely responsive to immediate needs or problems.

(2) Early Systematic Approach

The organization is at the beginning stages of conducting operations by processes with repeatability, evaluation and improvement, and some coordination among organizational units.

(3) Aligned Approach

Operations are characterized by processes that are repeatable and regularly evaluated for improvement, with learnings shared and with coordination among organizational units.

(4) Integrated Approach

Operations are characterized by processes that are repeatable and regularly evaluated for change and improvement in collaboration with other affected units. Efficiencies across units are sought and achieved.

The guidelines given in this section are offered to assist Criteria users in responding most effectively to the requirements of the 19 Criteria Items. Writing an application for the Baldrige Award involves responding to these requirements in 50 or fewer pages.

The guidelines are presented in three parts:

(1) General Guidelines regarding the Criteria booklet, including how the Items are formatted

(2) Guidelines for Responding to Approach-Deployment Items

(3) Guidelines for Responding to Results Items

General Guidelines

1. Read the entire Criteria booklet.

The main sections of the booklet provide an overall orientation to the Criteria, including how responses are to be evaluated for self-assessment or by Award Examiners. You should become thoroughly familiar with the following sections:

- Education Criteria for Performance Excellence (pages 12–32)
- Scoring information (pages 55–57)
- Glossary of Key Terms (pages 33–38)
- Category and Item Descriptions (pages 39–54)

2. Review the Item format and understand how to respond to the Item requirements.

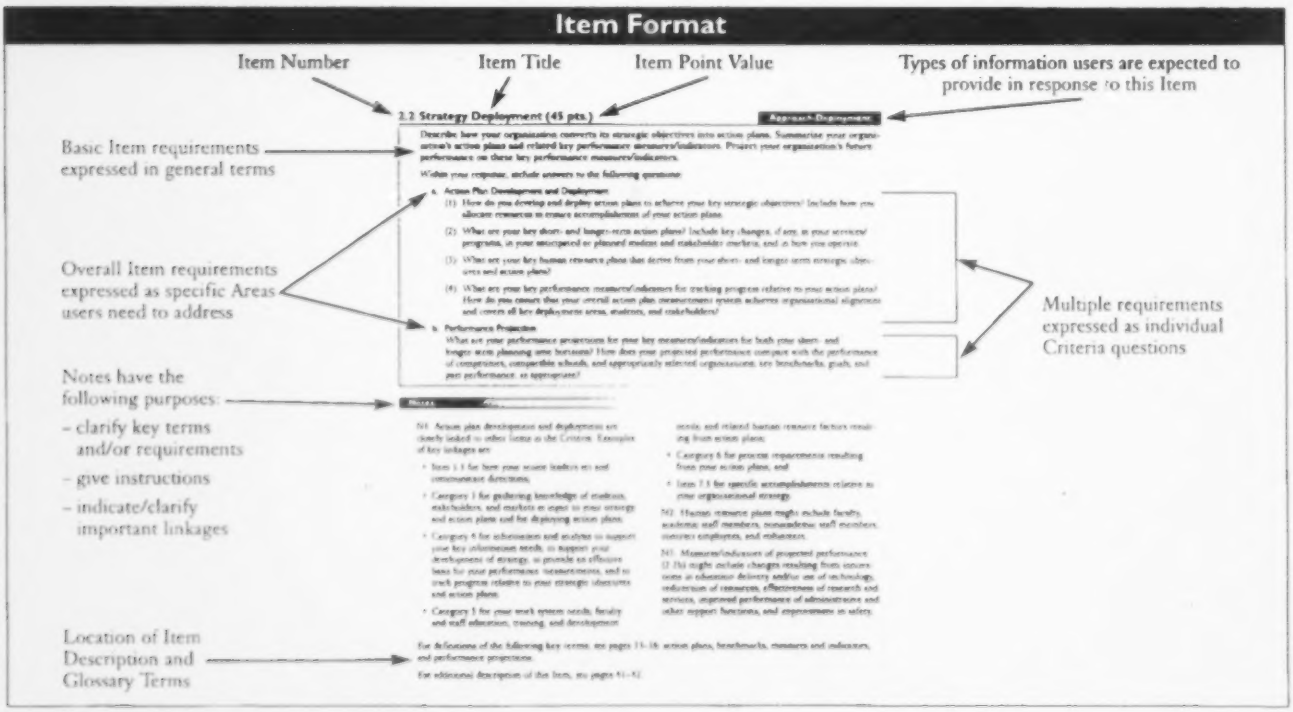
The Item format (see figure below) shows the different parts of Items, the role of each part, and where each part is placed. It is especially important to understand the Areas to Address and the Item Notes. Each Item and Area to Address is described in greater detail in a separate section (pages 39–54).

Each Item is classified either **Approach-Deployment** or **Results**, depending on the type of information required. Guidelines for responding to Approach-Deployment Items are given on page 59. Guidelines for responding to Results Items are given on page 60.

Item requirements are presented in question format. Some questions include modifying statements. Responses to an Item should contain answers to all questions and to modifying statements; however, each question need not be answered separately. Responses to multiple questions within a single Area to Address may be grouped, as appropriate to your organization.

3. Start by preparing the Organizational Profile.

The Organizational Profile is the most appropriate starting point for initiating a self-assessment or for writing an application. The Organizational Profile is intended to help everyone—including organizations using the Criteria for self-assessment, application writers, and reviewers—to


Item Format
Item Number
Item Title
Item Point Value
Types of information users are expected to provide in response to this Item
2.2 Strategy Deployment (45 pts.)
Approach-Deployment
Basic Item requirements expressed in general terms
Overall Item requirements expressed as specific Areas users need to address
Multiple requirements expressed as individual Criteria questions
Notes have the following purposes:
– clarify key terms and/or requirements
– give instructions
– indicate/clarify important linkages
Location of Item Description and Glossary Terms

understand what is most relevant and important to your organization and its performance. The questions to address in responding to the Organizational Profile are on pages 12–13.

Guidelines for Responding to Approach-Deployment Items

Although the Criteria focus on key performance results, these results by themselves offer little *diagnostic* value. For example, if some results are poor or are improving at rates slower than your competitors', it is important to understand *why* this is so and *what* might be done to accelerate improvement.

The purpose of Approach-Deployment Items is to permit diagnosis of your organization's most important processes—the ones that yield fast-paced organizational performance improvement and contribute to key organizational results. Diagnosis and feedback depend heavily on the content and completeness of Approach-Deployment Item responses. For this reason, it is important to respond to these Items by providing your key process information. Guidelines for organizing and reviewing such information follow.

1. Understand the meaning of "how."

Approach-Deployment Items include questions that begin with the word "how." *Responses should outline your key process information, such as methods, measures, deployment, and evaluation/improvement/learning factors.* Responses lacking such information, or merely providing an example, are referred to in the Scoring Guidelines as "anecdotal information."

2. Understand the meaning of "what."

Two types of questions in Approach-Deployment Items begin with the word "what." The first type of question requests basic information on key processes and how they work. Although it is helpful to include *who* performs the work, merely stating *who* does not permit diagnosis or feedback. The second type of question requests information on *what* your key findings, plans, objectives, goals, or measures are. These questions set the context for showing alignment in your performance management system. For example, when you identify key strategic objectives, your action plans, faculty and staff development plans, some of your results measures, and results reported in Category 7 should be expected to relate to the stated strategic objectives.

3. Write and review response(s) with the following guidelines and comments in mind.

- Show that activities are *systematic*.

  Approaches that are systematic are repeatable and use data and information so that improvement and learning are possible. In other words, approaches are systematic if they build in the opportunity for evaluation and learning and thereby permit a gain in maturity.

- Show deployment.

  Deployment information should summarize what is done in different parts of your organization. Deployment can be shown compactly by using tables.

- Show focus and consistency.

  There are four important factors to consider regarding focus and consistency: (1) the Organizational Profile should make clear what is important; (2) the Strategic Planning Category, including the strategic objectives and action plans, should highlight areas of greatest focus and describe how deployment is accomplished; (3) descriptions of organizational-level analysis and review (Items 4.1 and 1.1) should show how your organization analyzes and reviews performance information to set priorities; and (4) the Process Management Category should highlight processes that are key to your overall performance. *Showing focus and consistency in the Approach-Deployment Items and tracking corresponding measures in the Results Items should improve organizational performance.*

- Respond fully to Item requirements.

  Missing information will be interpreted as a gap in approach and/or deployment. All Areas to Address should be addressed. Individual components of an Area to Address may be addressed individually or together.

4. Cross-reference when appropriate.

As much as possible, each Item response should be self-contained. However, responses to different Items might be mutually reinforcing. It is then appropriate to refer to the other responses rather than to repeat information. In such cases, key process information should be given in the Item requesting this information. For example, faculty and staff education and training should be described in detail in Item 5.2. Discussions about education and training of faculty and staff elsewhere in your application would then reference but not repeat details given in your Item 5.2 response.

5. Use a compact format.

Applicants should make the best use of the 50 application pages permitted. Applicants are encouraged to use flowcharts, tables, and "bullets" to present information concisely.

6. Refer to the Scoring Guidelines.

Considerations in the evaluation of Item responses include the Criteria Item requirements and the maturity of the approaches, breadth of deployment, alignment with other elements of your performance management system, and strength of the improvement process relative to the Scoring Guidelines. Therefore, you need to consider both the Criteria and the Scoring Guidelines.

Guidelines for Responding to Results Items

The Education Criteria place the greatest emphasis on results. The following information, guidelines, and example relate to effective and complete reporting of results.

1. **Focus on the most critical organizational results.**

   Results reported should cover the most important requirements for your organizational success, highlighted in your Organizational Profile and in the Strategic Planning and Process Management Categories.

2. **Note the meaning of the four key requirements from the Scoring Guidelines for effective reporting of results data:**

   - *trends* to show directions of results and rates of change
   - *performance* levels on a meaningful measurement scale
   - *comparisons* to show how results compare with those of other, appropriately selected organizations
   - *breadth and importance of results* to show that all important results are included

3. **Include trend data covering actual periods for tracking trends.**

   No minimum period of time is specified for trend data. Trends might span five years or more for some results. For important results, new data should be included even if trends and comparisons are not yet well established.

4. **Use a compact format—graphs and tables.**

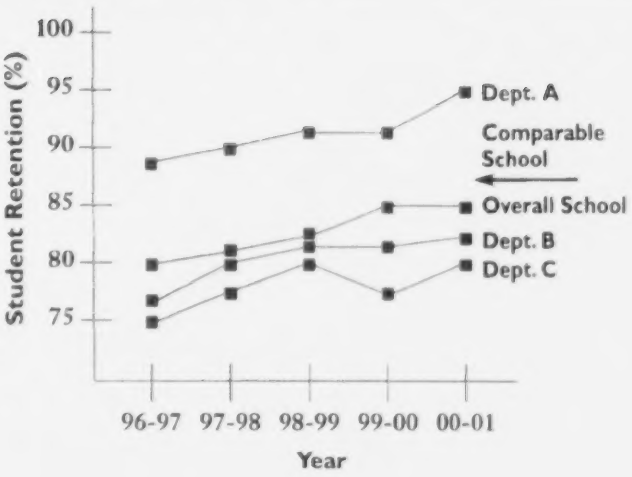
   Many results can be reported compactly by using graphs and tables. Graphs and tables should be labeled for easy interpretation. Results over time or compared with others should be "normalized," i.e., presented in a way (such as use of ratios) that takes into account various size factors. For example, reporting absenteeism trends in terms of unexcused absences per 100 students would be more meaningful than total unexcused absences if the student population has varied over the time period or if you are comparing your results to organizations differing in number of students.

5. **Integrate results into the body of the text.**

   Discussion of results and the results themselves should be close together in an Award application. *Trends that show a significant positive or negative change should be explained.* Use figure numbers that correspond to Items. For example, the third figure for Item 7.2 would be Figure 7.2-3. (See the example in the figure that follows.)

   The following graph illustrates data an organization might present as part of a response to Item 7.2, Student- and Stakeholder-Focused Results. In the Organizational Profile, the organization has indicated student persistence as a key success factor.

Figure 7.2-3 Student Persistence



Using the graph, the following characteristics of clear and effective data reporting are illustrated:

- A figure number is provided for reference to the graph in the text.
- Both axes and units of measure are clearly labeled.
- Trend lines report data for a key success factor—student persistence.
- Results are presented for several years.
- Appropriate comparisons are clearly shown.
- The school shows, using a single graph, that its three departments separately track persistence rates.

To help interpret the Scoring Guidelines (page 56), the following comments on the graphed results would be appropriate:

- The current overall school performance level shows a generally improving trend. The current level is good but still slightly below the comparable school.
- Department A is the current performance leader—showing sustained excellent performance and a positive trend.
- Department B shows a lower level of performance but a generally improving trend.
- Although Department C has the overall lowest student retention rate, with the exception of the '99–'00 school year, there is a generally improving trend. (The single point drop in student retention should be briefly explained.)

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Applying for the Malcolm Baldrige National Quality Award

The Malcolm Baldrige National Quality Award is an annual Award to recognize U.S. organizations for performance excellence.

Award Purpose

The Award promotes

- awareness of performance excellence as an increasingly important element in competitiveness
- information sharing of successful performance strategies and the benefits derived from using these strategies

Award Participation

The Award eligibility categories include

- manufacturing businesses
- service businesses
- small businesses
- education organizations
- health care organizations

Copies of the Business Criteria and Health Care Criteria are available, and ordering information can be found on page 63.

Three awards may be given in each category each year.

To participate in the Award process, an organization must submit an application package that addresses the Education Criteria for Performance Excellence (pages 12–32).

Application Requirements

Applicants need to submit an application package that consists of three parts:

- a validated Eligibility Certification Form
- a completed Application Form
- an application report consisting of an Organizational Profile and responses to the Criteria

Detailed information and the necessary forms are contained in the *Baldrige Award Application Forms* booklet. Ordering instructions for this booklet are given on page 63.

Application Review

Applications are reviewed and evaluated by members of the Board of Examiners, who adhere to strict rules regarding conflict of interest, in a four-stage process:

Stage 1 - independent review and evaluation by at least five members of the board

Stage 2 - consensus review and evaluation for applications that score well in Stage 1

Stage 3 - site visits to applicants that score well in Stage 2

Stage 4 - Judges' review and recommendations of Award recipients

Feedback to Applicants

Each Award applicant receives a feedback report at the conclusion of the review process. The feedback report is a written assessment by an evaluation team of leading U.S. experts.

The feedback report contains an applicant-specific listing of strengths and opportunities for improvement based on the Criteria. Used by companies, education organizations, and health care organizations as part of their strategic planning processes, the feedback report helps organizations focus on their customers and improve overall performance. Feedback is one of the most important parts of the Baldrige Award process; it provides a pathway for improvement.

Feedback reports are mailed at various times during the Award cycle, based on the stage of review an application reaches in the evaluation process. Strict confidentiality is observed at all times and in every aspect of application review and feedback.

Award Recipients

Award recipients may publicize and advertise their Awards. Recipients are expected to share information about their successful performance strategies with other U.S. organizations.

If your organization is applying in the business or health care category, refer to the appropriate sector-specific Criteria booklet and the *Baldrige Award Application Forms*. Ordering information is on page 63.

Important Facts about Applying for the Award

- Criteria contained in this booklet should be used only for the education eligibility category.
- The following is a summary of the eligibility rules for the education category. Summaries of the eligibility rules for the business and health care categories are in their respective Criteria booklets. For-profit education or health care organizations may apply under the education or health care categories, using their respective Criteria, or under the service or small business categories, as appropriate, using the Business Criteria. If there is a question on eligibility, check the complete eligibility rules in the *Baldrige Award Application Forms* or call the Baldrige National Quality Program Office at (301) 975-2036.
- Whatever your Award eligibility category, you will need to obtain a copy of the *Baldrige Award Application Forms* before proceeding. Ordering instructions are given on page 63.

Basic Eligibility

Public Law 100-107 includes provisions to expand or modify the list of Award categories. Beginning with the 1999 Award cycle, two new eligibility categories—education and health care—were added. Participation is open to for-profit and not-for-profit public and private organizations, government organizations, and some subunits—including U.S. subunits of foreign organizations—that provide educational services in the United States and its territories.

Eligibility is intended to be as open as possible. For example, eligible education organizations include elementary and secondary schools and school districts; colleges, universities, and university systems; schools or colleges within universities; professional schools; community colleges; and technical schools. However, departments within schools or colleges are ineligible.

Eligibility of Subunits

A subunit is a unit or division of a larger (parent) organization. Subunits of organizations might be eligible. To be eligible, the subunit must be self-sufficient enough to be examined in all seven Criteria Categories, and it must be a discrete entity that is readily distinguishable from other parts of the parent organization. It cannot be primarily a support function (e.g., student advising units, counseling units, food services, health services, housing, libraries, safety divisions, finance and accounting, human resources, public relations, and purchasing).

Other Restrictions on Eligibility

Location: Although an applicant may have facilities outside the United States or its territories, or it may receive support from its parent, in the event of a site visit, the applicant must ensure that the appropriate people and information are available for examination in the United States. This information is needed to document the operational practices associated with all of its major functions. In the event that the applicant receives the Award, it must be able to share information on the seven Criteria Categories at the Quest for Excellence Conference and at its U.S. facilities. Sharing beyond the Quest for Excellence Conference is on a voluntary basis.

Multiple-Application Restrictions: A subunit and its parent may not both apply for Awards in the same year. In some cases, more than one subunit of a parent may apply. If the size of the *parent*, including all of its subunits, is

- 0–1000 employees, 1 applicant per parent per eligibility category may apply
- 1001–20,000 employees, 2 applicants per parent per eligibility category may apply
- over 20,000 employees, 2 applicants per parent per eligibility category for the first 20,000, plus 1 per 20,000 or fraction thereof above 20,000 per eligibility category, may apply

Future Eligibility Restrictions: If an organization or a subunit that has more than 50 percent of the total employees of the parent receives an Award, the organization and all its subunits are ineligible to apply for another Award for a period of five years. If a subunit receives an Award, that subunit and all its subunits are ineligible to apply for another Award for a period of five years. After five years, Award recipients are eligible to reapply for the Award or to reapply "for feedback only."

Eligibility Validation

Potential applicants must certify their eligibility prior to applying for the Award. Potential applicants for the 2002 Award are encouraged to submit their Eligibility Forms as early as possible after they are available but no later than April 16, 2002. This form is contained in the *Baldrige Award Application Forms*.

Note: If you are planning to apply for the Award, you will need the *Baldrige Award Application Forms* in addition to the Criteria booklet.

Individual Orders

Individual copies of the Criteria booklets and the *Baldrige Award Application Forms* can be obtained free of charge from

Baldrige National Quality Program
National Institute of Standards and Technology
Administration Building, Room A600
100 Bureau Drive, Stop 1020
Gaithersburg, MD 20899-1020
Telephone: (301) 975-2036
Fax: (301) 948-3716
E-mail: nqp@nist.gov
Web site: www.quality.nist.gov

Bulk Orders

Multiple copies of the *2002 Criteria for Performance Excellence* booklets may be ordered in packets of 10 for $29.95 plus shipping and handling from the American Society for Quality (ASQ).

2002 Business Criteria—Item Number T1108
2002 Education Criteria—Item Number T1109
2002 Health Care Criteria—Item Number T1110

How to Order

ASQ offers four convenient ways to order:

- For fastest service, call toll free (800) 248-1946 in the United States and Canada (in Mexico, dial toll free 95-800-248-1946). Have item numbers, your credit card or purchase order number, and (if applicable) ASQ member number ready.
- Or fax your completed order form to ASQ at (414) 272-1734.
- Or mail your order to ASQ Customer Service Department, P.O. Box 3066, Milwaukee, WI 53201-3066.
- Or order online by accessing ASQ's Web site at www.asq.org.

Payment

Your payment options include check, money order, U.S. purchase order, VISA, MasterCard, or American Express. Payment must be made in U.S. currency; checks and money orders must be drawn on a U.S. financial institution. All international orders must be prepaid. Please make checks payable to ASQ.

Shipping Fees

The following shipping and processing schedule applies to all orders.

Order Amount	U.S. Charges	Canadian Charges
0–$34.99	$ 4.25	$ 9.25
$35.00–$99.99	6.50	11.50
Over $100.00	12.50*	17.50*

- There is a shipping and processing charge of 25 percent of the total order amount for shipments outside the United States and Canada.
- Orders shipped within the continental United States and Canada where UPS service is available will be shipped UPS.
- Please allow one to two weeks for delivery. International customers, please allow six to eight weeks for delivery.
- Your credit card will not be charged until your items are shipped. Shipping and processing are charged one time, up front, for the entire order.

** If actual shipping charges exceed $12.50 ($17.50 Canadian), ASQ will invoice the customer for the additional expense.*

Baldrige Educational Materials

Each year, the Baldrige National Quality Program develops materials for training members of the Board of Examiners and for sharing information on the successful performance excellence strategies of the Award recipients. The following items are a sample of the educational materials that may be ordered from ASQ.

Case Studies

The case studies are used to prepare Examiners for the interpretation of the Criteria and the Scoring System. The case studies, when used with the Criteria, illustrate the Award application and review process. The case study packet contains the case study and six additional documents: an executive summary, the related *Criteria for Performance Excellence* booklet, the case study scorebook, the case study feedback report, the *Handbook for the Board of Examiners*, and the *Scorebook for Business, Education, and Health Care*. These documents provide information related to scoring, Criteria responses, examination processes, and site visit procedures, as well as illustrate the format for an application. A variety of case study packets are available, including the following:

BEST COPY AVAILABLE

2001 Business Case Study Packet: TriView National Bank (based on the *2001 Criteria for Performance Excellence*)

Item Number T1091: $49.95 plus shipping and handling

2000 Education Case Study Packet: Coyote Community College (based on the *2000 Education Criteria for Performance Excellence*)

Item Number T1090: $49.95 plus shipping and handling

1999 Business Case Study Packet: Collin Technologies (based on the *1999 Criteria for Performance Excellence*)

Item Number T1079: $49.95 plus shipping and handling

Education Case Study Packet: Ridgecrest School District (based on the *1995 Education Pilot Criteria*)

Item Number T1023: $7.28 plus shipping and handling

Award Recipients' Videos

The Award recipients' videos are a valuable resource for gaining a better understanding of performance excellence and quality achievement. The videos provide background information on the Baldrige National Quality Program, highlights from the annual Award ceremony, and interviews with representatives from the Award recipients' organizations. Information on the 2001 Award recipients' video is provided below. Videos about Award recipients from other years also are available from ASQ.

2001—Item Number TA998 (Available May 2002)	$ 20.00

How to Order Educational Materials

To order a Case Study Packet (TriView National Bank, Coyote Community College, Collin Technologies, Ridgecrest School District, or others), bulk orders of the 2002 Criteria booklet, or the Award recipients' videos, contact

ASQ Customer Service Department
P.O. Box 3066
Milwaukee, WI 53201-3066
Telephone: (800) 248-1946
Fax: (414) 272-1734
E-mail: asq@asq.org
Web address: www.asq.org

Fees for the 2002 Award Cycle

Eligibility Certification Fees

The eligibility certification fee is $150 for all potential applicants. This fee is nonrefundable.

Application Fees

- for-profit education organizations with more than 500 employees—$5000
- for-profit education organizations with 500 or fewer employees—$2000
- all not-for-profit education organizations—$500
- supplemental sections—$250–$2000

Detailed information on fees is given in the *Baldrige Award Application Forms*.

Site Visit Review Fees

Site visit review fees will be set when the visits are scheduled. Fees depend on the number of Examiners assigned and the duration of the visit. Site visit review fees for education organizations with 500 or fewer employees are one-half the rate for education organizations with more than 500 employees. These fees are paid only by those applicants reaching the site visit stage.

Eligibility Forms due—April 16, 2002
Award Applications due—May 30, 2002

The Baldrige National Quality Program welcomes your comments on the Criteria or any of the Baldrige Award processes. Please address your comments to

2002 Education Criteria for Performance Excellence
Baldrige National Quality Program
National Institute of Standards and Technology
Administration Building, Room A600
100 Bureau Drive, Stop 1020
Gaithersburg, MD 20899-1020

or E-mail: nqp@nist.gov

or Web address: www.quality.nist.gov

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THE MALCOLM BALDRIGE NATIONAL QUALITY IMPROVEMENT ACT OF 1987—PUBLIC LAW 100-107

The Malcolm Baldrige National Quality Award was created by Public Law 100-107, signed into law on August 20, 1987. Public Law 100-107 led to the creation of a new public-private partnership. Principal support for the program comes from the Foundation for the Malcolm Baldrige National Quality Award, established in 1988.

The Award is named for Malcolm Baldrige, who served as Secretary of Commerce from 1981 until his death in 1987. His managerial excellence contributed to long-term improvement in efficiency and effectiveness of government.

The Findings and Purposes Section of Public Law 100-107 states that

"1. the leadership of the United States in product and process quality has been challenged strongly (and sometimes successfully) by foreign competition, and our Nation's productivity growth has improved less than our competitors' over the last two decades.

2. American business and industry are beginning to understand that poor quality costs companies as much as 20 percent of sales revenues nationally and that improved quality of goods and services goes hand in hand with improved productivity, lower costs, and increased profitability.

3. strategic planning for quality and quality improvement programs, through a commitment to excellence in manufacturing and services, are becoming more and more essential to the well-being of our Nation's economy and our ability to compete effectively in the global marketplace.

4. improved management understanding of the factory floor, worker involvement in quality, and greater emphasis on statistical process control can lead to dramatic improvements in the cost and quality of manufactured products.

5. the concept of quality improvement is directly applicable to small companies as well as large, to service industries as well as manufacturing, and to the public sector as well as private enterprise.

6. in order to be successful, quality improvement programs must be management-led and customer-oriented, and this may require fundamental changes in the way companies and agencies do business.

7. several major industrial nations have successfully coupled rigorous private-sector quality audits with national awards giving special recognition to those enterprises the audits identify as the very best; and

8. a national quality award program of this kind in the United States would help improve quality and productivity by

   A. helping to stimulate American companies to improve quality and productivity for the pride of recognition while obtaining a competitive edge through increased profits;

   B. recognizing the achievements of those companies that improve the quality of their goods and services and providing an example to others;

   C. establishing guidelines and criteria that can be used by business, industrial, governmental, and other organizations in evaluating their own quality improvement efforts; and

   D. providing specific guidance for other American organizations that wish to learn how to manage for high quality by making available detailed information on how winning organizations were able to change their cultures and achieve eminence."

Baldrige National Quality Program

Baldrige National Quality Program
National Institute of Standards and Technology
Technology Administration
United States Department of Commerce
Administration Building, Room A600
100 Bureau Drive, Stop 1020
Gaithersburg, MD 20899-1020

The National Institute of Standards and Technology (NIST) is a nonregulatory federal agency within the Commerce Department's Technology Administration. NIST's primary mission is to develop and promote measurement, standards, and technology to enhance productivity, facilitate trade, and improve the quality of life. The Baldrige National Quality Program (BNQP) at NIST is a customer-focused federal change agent that enhances the competitiveness, quality, and productivity of U.S. organizations for the benefit of all citizens. BNQP develops and disseminates evaluation criteria and manages the Malcolm Baldrige National Quality Award. It also provides global leadership in promoting performance excellence and in the learning and sharing of successful performance practices, principles, and strategies.

Call BNQP for

- information on improving the performance of your organization
- information on eligibility requirements for the Baldrige Award
- information on applying for the Baldrige Award
- information on becoming a Baldrige Examiner
- information on the Baldrige Award recipients
- individual copies of the Criteria for Performance Excellence—Business, Education, and Health Care (no cost)
- information on BNQP educational materials

Telephone: (301) 975-2036; Fax: (301) 948-3716; E-mail: nqp@nist.gov
Web address: www.quality.nist.gov

American Society for Quality
600 North Plankinton Avenue
P.O. Box 3005
Milwaukee, WI 53201-3005

The American Society for Quality (ASQ) advances individual and organizational performance excellence worldwide by providing opportunities for learning, quality improvement, and knowledge exchange. ASQ administers the Malcolm Baldrige National Quality Award under contract to NIST.

Call ASQ to order

- bulk copies of the Criteria
- case studies
- Award recipients' videos

Telephone: (800) 248-1946; Fax: (414) 272-1734; E-mail: asq@asq.org
Web address: www.asq.org

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